

Lead-Based Paint Hazard Control

Application Kit

Fiscal Year 2002

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U. S. Department of Housing and Urban Development

Washington, D.C. 20410

Office of Healthy Homes and Lead Hazard Control

APPLICATION KIT FOR THE FY2002 LEAD-BASED PAINT HAZARD CONTROL GRANT PROGRAM

Dear Applicant:

Thank you for requesting an Application Kit for the Lead-Based Paint Hazard Control Grant Program. This is the tenth year that HUD will be awarding funds to make homes lead-safe for children. Funds will be available to assist State, local, and tribal governments to initiate or expand programs to identify and control lead-based paint hazards in eligible privately-owned housing. HUD continues to be especially interested in cost-effective and safe lead hazard control approaches that can be replicated across the nation.

This year's grant program provides approximately \$80 million for State, tribal, and local governments. Approximately 32 to 40 grants of \$1 million to \$2.5 million each will be awarded to control lead-based paint hazards in eligible privately-owned housing. Approximately 80 percent of the funds in this Notice of Funding Availability (NOFA) will be available to previously funded Lead-Based Paint Hazard Control grantees, who will be evaluated and scored separately from previously unfunded applicants. State and Tribal applicants must have an EPA authorized State or Tribal Lead-Based Paint Contractor Certification and Accreditation Program in order to be eligible. The applications are due no later than June 14, 2002.

The following changes are included in this NOFA:

1. Approximately \$80 million is available. 80 percent of these funds will be available for previously funded (current or prior LHC grantees) and 20 percent will be available for new (previously unfunded) applicants.
2. Eligible applicants may apply for grants of \$1 million - \$2.5 million.
3. There is a minimum score of 70 required for fundable applications.
4. There is an increased emphasis on performance for current and prior grantee applicants.
5. Current grantees that have not completed a minimum of 35 percent of the units in their most recent grant agreement as of March 31, 2002 are not eligible to apply under this NOFA.
6. Current grantees (with active grants at the application deadline date of June 14, 2002) whose period of performance commenced on or after January 1, 2000 and that have completed and cleared in their most recent grant at least 65 % of the negotiated number of units, and have expended in their most recent grant, as evidenced by the draw down from the HUD Line of Credit Control System (LOCCS), at least 45 % of their original Federal grant award by March 31, 2002, are eligible to submit a "Request for Renewal" of up to \$2 million to continue grant program activities for an additional 24 months after their current period of performance ends. Current grantees eligible to submit a "Request for Renewal" are not required to respond to the NOFA Rating Factors, but must submit a total budget, a work plan strategy, and other supporting materials as prescribed in the application kit.
7. Funded lead hazard control interventions must be conducted by persons qualified for the activities according to 24 CFR Part 35, especially Sections 35.1325 and 35.1330 (qualified persons possessing certification as abatement contractors, risk assessors, inspectors, abatement workers, or sampling technicians, or others having been trained in a HUD-approved course in lead-safe work practices). This means that contractors and workers that have successfully completed a HUD approved course in lead-safe work practices can now be used for grant funded interim control work. Lead-based paint abatement must still be carried out by contractors certified by an EPA authorized Lead-Based Paint Training and Certification Program.

8. Applicants are encouraged to include faith-based organizations in their proposal.
9. Due to new security procedures implemented by HUD, hand-delivered applications **will not** be accepted. (See NOFA and application kit for acceptable delivery options)

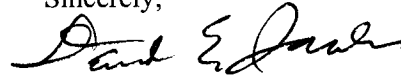
The applicant must allocate a minimum of 60% of its requested grant for direct lead hazard control activities. Direct lead hazard control activities consist of inspections, risk assessments, lead hazard control services, and clearance evaluations. In addition, the budget for most applicants should include a minimum of (2) percent of the total Federal amount requested to promote the creation of a workforce properly trained in lead-safe work practices and which is available to work in HUD assisted housing units being treated under the provisions of the HUD Lead-Safe Housing Rule (24 CFR Part 35, et al).

The NOFA includes changes to make the application process simpler and less time consuming. Before you begin preparing your application, please read the entire Application Kit and NOFA to ensure your eligibility and to verify that the activities you select clearly meet the program objectives and are eligible for assistance. This Application Kit includes detailed instructions for each component of the application submission, including the necessary forms and tables. Please follow the instructions to ensure you meet all the requirements for a complete application. The Application Kit, additional resource documents, necessary forms, and answers to frequently asked questions are also available on the Office of Healthy Homes and Lead Hazard Control's home page at: **www.hud.gov/offices/lead**

In accordance with the HUD Reform Act of 1989, HUD cannot provide any information on the relative standing of any application. However, prior to submission, you may ask questions about the grant program by calling the Office of Healthy Homes and Lead Hazard Control at (202) 755-1785 (this is not a toll-free number). Please note that your proposals submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act. **Please refer to the NOFA for the application deadline.**

We applaud your interest in providing homes free of lead paint hazards for our nation's children. Good luck!

Sincerely,



David E. Jacobs, PhD
Director

Lead Hazard Control Grant Program

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Lead-Based Paint Hazard Control Grant Program

SECTION 1. GENERAL INSTRUCTIONS AND GUIDELINES FOR APPLICANTS

General Instructions : This Application Kit should be used to apply for Lead-Based Paint Hazard Control Grant Program funding.

The Notice of Funding Availability (NOFA) can be found at the back of this application kit and should be read before preparing the application.

- 1. Program Description:** The Lead-Based Paint Hazard Control Grant Program assists States, Tribal, and local governments in undertaking programs for the identification and control of lead-based paint hazards in eligible privately-owned housing units for rental and owner-occupants. These funds will be awarded to:
 - Maximize the combination of children protected from lead poisoning and housing units where lead-hazards are controlled;
 - Target lead hazard control efforts at housing in which children are at greatest risk of lead poisoning;
 - Stimulate cost-effective approaches that can be replicated;
 - Emphasize lower cost methods of hazard control;
 - Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities; and
 - Affirmatively further fair housing and environmental justice.
- 2. Objectives:** The objectives of the Lead-Based Paint Hazard Control Grant Program are to:
 - Implement a national strategy to assist States, tribal, and local governments to build the capacity necessary to eliminate lead-based paint hazards in all housing;
 - Mobilize public and private resources, involving cooperation among all levels of government, the private sector and faith-based and other community-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards;
 - Encourage effective action to prevent childhood lead poisoning by establishing a workable framework for lead-based paint hazard identification and control;
 - Develop comprehensive community approaches which result in integration of all community resources (governmental, faith-based and other community-based, and businesses) to address lead hazards in housing;
 - Integrate lead-safe work practices into housing maintenance, repair, weatherization, rehabilitation, and other programs which will continue beyond the life of the grant;
 - Establish a public registry of lead-safe housing; and
 - Promote job training, employment, and other economic opportunities for low-income residents and businesses which are owned by and/or employ low-income and minority residents.
- 3. Legislative Authority:** This NOFA is authorized under Section 1011 of the Residential Lead-Based Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Public Law 102-550).
- 4. Eligibility:** This is a competitive grant program limited to a State, tribal, or unit of local government that has identified housing and community development needs, as well as a long-term strategy for meeting those needs. For this program, the "applicant" is considered to be the State, tribe or local government. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a single primary government or agency as "the applicant." You may submit only one application. In the event you submit multiple applications, this will be considered a curable (minor) defect and the application review process delayed until you notify HUD in writing which application should be reviewed. Your other applications will be returned unevaluated. (See the General Section of the SuperNOFA, Section V, Corrections to Deficient Applications).

If you are a State or Tribal government, you must have an authorized EPA Lead-Based Paint Contractor Certification and Accreditation Program by the application deadline to be eligible. A matching contribution of 10 percent of the requested grant is required of the grantee. Applicants must be in compliance with Fair Housing and Civil Rights Laws (See General Section II (B)(1) of the SuperNOFA).

Applicants must also meet a number of Threshold Requirements as specified in the General Section of the SuperNOFA and this NOFA, as well as demonstrate that they have the authority to carry out lead hazard control activities associated with this program.

Approximately 80 percent of the funds under this NOFA shall be available to current or prior Lead-Based Paint Hazard Control grantees that meet the performance-based threshold criteria set forth in this NOFA. Applications of current or prior grantees shall be evaluated and scored as a separate class and will not be in competition with previously unfunded applicants. This limitation is imposed to build capacity in those areas where no previous grant supported work has been implemented, while still retaining the Department's ability to target some funds to areas already being served.

Current or prior grantees that have not completed a minimum of 35 percent of the units in their most recent grant agreement as of March 31, 2002 are not eligible to apply under this NOFA.

Current grantees (with active grants at the application deadline date of June 14, 2002) whose period of performance commenced on or after January 1, 2000 and that have completed and cleared at least 65% of the negotiated number of units in their most recent HUD agreement and have expended, as evidenced by the draw down from the HUD Line of Credit Control System (LOCCS), at least 45% of their most recent HUD Federal grant award by March 31, 2002, are eligible to submit a "Request for Renewal" for up to \$2 million to continue grant program activities for an additional 24 months after their current period of performance ends.

Before submitting a "Request for Renewal" application, current grantees should verify their eligibility with Ellis G. Goldman, Director of the Program Management Division at (202) 755-1785, x 112 ***no earlier than April 1, 2002***. Eligible current grantee applicants that submit a "Request for Renewal" grant are precluded from submitting an application with other current or prior grantee applicants under this competition.

Grant funds shall only be available for lead hazard control work in projects conducted by persons qualified for the activities according to 24 CFR Part 35 especially Sections 35.1325 for abatement and 35.1330 for interim controls (qualified persons must possess certification as abatement contractors, risk assessors, inspectors, abatement workers, or sampling technicians, or others having been trained in a HUD-approved course in lead-safe work practices).

Before lead hazard control work begins in a unit, documentation that each occupant who is under six years old was tested for lead poisoning within the six months preceding the housing intervention is required.

Each grantee must provide a matching contribution of at least 10 percent of the requested grant sum. This may be in the form of a cash and/or in-kind contribution.

5. Eligible Hazard Control Activities: Grant funds to identify and control the hazards of lead-based paint in eligible privately-owned housing units constructed before 1978 can be used for the following direct and support activities. HUD encourages local innovation in performing work under this grant. HUD reserves the right, in negotiating the grant agreement, to disapprove budget items that, in its judgment, are not necessary for the direct support of program purposes, and to request the grantee to reallocate such amounts for other acceptable purposes, or to make a corresponding reduction in the grant award.

ELIGIBLE UNITS

Lead hazard control activities may be conducted only in eligible housing units. The criteria for eligibility are:

- The unit must be privately owned. Units owned by non-profit entities are considered to be privately-owned.
- The housing may be owner occupied or rental property. The resident (owner or tenant) must be low or very low income.
- The housing units must have been constructed prior to 1978.

DIRECT ACTIVITIES

- a. Performing dust testing, hazard screens, inspections, and risk assessments of eligible housing units constructed prior to 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil through the use of acceptable testing procedures. **All test results must be provided to the owner of the unit, together with a notice describing the owner's legal duty to disclose the results to tenants and buyers.**
- b. Conducting pre-lead hazard control blood lead testing of children under the age of six years residing in units undergoing inspection, risk assessment, or hazard control, unless reimbursable from Medicaid or another source. Before lead hazard control work begins, each occupant who is under six years old must be tested for lead poisoning within six months preceding the housing intervention (for additional details see Policy Guidance Issuance 2000-04 available by accessing the Internet at: <http://www.hud.gov/offices/lead>)
- c. Conducting lead hazard control activities that may include any combination of the following:
 - Interim control of lead-based paint hazards in housing (which may include specialized cleaning techniques to address lead dust);
 - Lead-based paint hazard abatement where the approach may be different for each unit, dependent upon condition of the unit and the extent of hazards including soil and dust, by means of removal, enclosure, encapsulation, or replacement methods; and
 - Abatement of lead-based paint hazards. The complete abatement of all lead-based paint or lead-contaminated soil in a unit or structure is not acceptable as a cost-effective strategy unless justification is provided and subsequently approved by HUD. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, i.e. dripline or foundation of the unit being treated, and children's play areas.

All lead hazards identified in a housing unit enrolled in the lead hazard control grant program must be controlled or eliminated by any combination of these strategies.

- d. Carrying out temporary relocation of families and individuals during the period in which hazard control is conducted and until the time the affected unit receives clearance for reoccupancy.
- e. Performing blood lead testing and air sampling to protect the health of the hazard control workers, supervisors and contractors (in accordance with applicable OSHA regulations).

- f. Undertaking minimal housing rehabilitation activities under this program that are specifically required to ensure effective hazard control, and without which, the hazard control could not be carried out. Grant funds from this program may also be used for lead-based paint hazard control work conducted in conjunction with separately-funded housing rehabilitation programs.
- g. Conducting clearance dust-wipe sampling and analysis for lead by a National Lead Laboratory Accreditation Program (NLLAP) recognized laboratory. The EPA risk assessment and clearance standards for dust-lead hazards are 40 $\mu\text{g}/\text{ft}^2$ for floors, 250 $\mu\text{g}/\text{ft}^2$ for interior windowsills, and 400 $\mu\text{g}/\text{ft}^2$ for window troughs (clearance only).
- h. Carrying out engineering and architectural activities that are necessary for, and in direct support of, lead hazard control.
- i. Providing training to low-income persons for the purposes of lead-based paint worker or contractor certification and/or licensing, and complying with Section 3 of the Housing and Urban Development Act of 1968 and HUD's implementing rules at 24 CFR Part 135.
- j. Providing free training to homeowners, renters, painters, remodelers, and apartment maintenance staff working in low-income housing on lead-safe work practices.
- k. Providing cleaning supplies to faith-based and community-based organizations, homeowners, and renters in low-income housing.
- l. Conducting planning, coordination, and training activities to facilitate local implementation of HUD's Lead-Safe Housing Rule (24 CFR Part 35 et al. and published at 64 FR 50140), especially activities conducted to promote the creation of a workforce properly trained in lead-safe work practices and which is available to work in HUD assisted housing units being treated under the provisions of this rule. A sufficient amount of the total Federal amount must be dedicated to these activities (For most applicants, a minimum of 2% of the total Federal amount should be dedicated for these activities). The Lead-Safe Housing Rule is available from the National Lead Information Center at 1-800-424-LEAD.
- m. Conducting general or targeted community awareness, education, or outreach programs on lead hazard control and lead poisoning prevention. This activity could also include educating owners of rental properties to the provisions of the Fair Housing Act as it applies to marketing lead-safe housing. It would also include making all materials available in appropriate languages or alternative formats for persons with disabilities (e.g.; Braille, audio, large type), upon request.
- n. Purchasing or leasing equipment having a per unit cost under \$5,000.
- o. Purchasing or leasing up to two (2) X-ray fluorescence analyzers for use by the Lead-Based Paint Hazard Control Grant Program (\$5,000 per unit limit for equipment purchases does not apply).
- p. Procuring liability insurance for lead hazard control activities.
- q. Supporting the data collection, analysis, and evaluation of grant program activities. This activity includes compiling and reporting data required by HUD. Note that this activity is not included in administrative costs, for which there is a separate 10 percent limit (See Page 191) in Annex A in the Forms Section).
- r. Conducting applied research activities directed at demonstrating cost effective methods for lead hazard control. A maximum of five (5) percent of the total grant request may be utilized for applied research activities.
- s. Preparing a final report at the conclusion of grant activities.

SUPPORT ACTIVITIES

- a. Administrative costs. A maximum of 10 percent may be spent on administrative costs. See Annex A, Page 191 in the Forms Section.
- b. Program planning and management costs of sub-grantees and other sub-recipients.

INELIGIBLE ACTIVITIES

- a. Purchase of real property.
- b. Purchase of equipment having a per unit cost in excess of \$5,000, except for X-ray fluorescence analyzers.
- c. Chelation or other medical treatment costs related to children with elevated blood lead levels. Non-federal funds used to cover these costs may be counted as part of the required matching contribution.
- d. Lead hazard control activities in publicly-owned housing, or Project-Based Section 8 housing. A table listing eligibility for various HUD programs is included in Annex 5 of this application kit.

6. Other Requirements: To be considered eligible for this grant program, applicants must have a current HUD-approved Consolidated Plan or an abbreviated Consolidated Plan. (This requirement does not apply to Indian Tribes) You should submit the Certification of Consistency with the Consolidated Plan form provided in the Forms Section in the back of this book and include, as an appendix to the application, a copy of the lead-based paint element from the currently approved Consolidated Plan. Please include the Certification of Consistency with the Consolidated Plan form (HUD-2991) in the application. A copy of the Lead-Based Paint portion of the Consolidated Plan must be included in Appendix 6 of your application.

In addition to the requirements concerning the Consolidated Plan discussed above, several additional requirements are discussed in the General Section of the SuperNOFA at the end of this book. These include public access to application materials, prohibition of lobbying activities, procurement standards, and others.

7. Maximum Assistance and Local Contributions: Approximately \$80 million is available to fund 32 to 40 grants. Grants will range between \$1 and \$2.5 million. As a minimum eligibility requirement, each grantee shall provide a cash and/or in-kind match of at least 10 percent of the requested grant amount. With the sole exception of Community Development Block Grant (CDBG) funds, Federal funds may not be used to satisfy the statutorily required ten (10) percent matching requirement. Federal funds may be used, however, for contributions above the statutory requirement.

The grant amount requested is to be a single overall request for the period of performance.

Approximately 80 percent of the funds of this NOFA shall be available to current or prior Lead-Based Paint Hazard Control grantees.

8. Completion of Work: Previously unfunded applicants must plan for and complete project activities within 36 months. Previously funded applicants must plan for and complete project activities within 30 months. Current grantees eligible to submit a "Request for Renewal" must plan for and complete project activities within 24 months after the current period of performance ends.

9. Final assembly of an Application Package: Section 2 (Preparing Your Application) provides or describes all the pages, forms, certifications, and attachments necessary to apply for a grant under this NOFA. The application should be assembled in the order shown in the Checklist and Table of Contents, number each page, and tab each section sequentially. Show the page numbers on the Checklist and Table of Contents sheet that is to be included with the submission. Since applications may not be corrected or changed

after the deadline date, review your application to ensure it is complete and correct. **The narrative response to the Rating Factors cannot exceed a total of 25 pages (this does not include the budget or materials included in the appendices). Tabular information must be provided in the appropriate appendix.**

To help verify that the application is complete, the Threshold Review checklist that HUD will use is provided for you in Annex B (Page 195) in the Forms Section in the back of this book. We recommend you use it to assist in the assembly of a complete application.

In addition, relevant supplemental material for these factors may be submitted. Such materials should be supplied in appendices as shown below. These appendices may consist of required threshold documents such as a copy of the lead-based paint element of the Consolidated Plan, tabular scientific data validating rating factor responses, organizational chart(s), resumes, job descriptions, Memoranda of Agreement/Understanding, letters of commitment for participating in project, additional supporting documentation from the Analysis of Impediments and other pertinent Fair Housing and Equal Opportunity planning documents and other letters of support.

Do not include copies of individual training certificates, lead related licenses, licenses for XRF equipment or other similar material. These documents are not required for the review of the application.

To ease assembly and speed the review process, the appendices should be provided in the sequence indicated below:

Appendix 1 Materials relating to Rating Factor 1 - Capacity of the Applicant and Relevant Organizational Experience

Appendix 2 Materials relating to Rating Factor 2 - Need/Extent of Problem

Appendix 3 Materials relating to Rating Factor 3 - Soundness of Approach

Appendix 4 Materials relating to Rating Factor 4 - Leveraging Resources

Appendix 5 Materials relating to Rating Factor 5 - Coordination, Self Sufficiency and Sustainability

Appendix 6 Materials relating to the application thresholds or forms.

The lead hazard control element from the Consolidated plan should be provided in this appendix.

Appendix 7 Other materials related to the application

Attach any miscellaneous items or documents to the application that support or are part of your lead-based paint hazard control program application. These appendices should be limited to maps, data tables, documents and forms that **directly** pertain to your proposed lead-based paint hazard control project and **must be either specifically referenced and/or requested in responding to the factors for award**. Additional narrative explanation for the Rating Factors is not acceptable and will not be reviewed. Information, materials, and documents that do not, in HUD's sole opinion, meet these requirements will not be considered in the application review. It is not necessary to submit copies of individual training certificates or licenses.

Exceeding the 25 page limit for your narrative responses to the rating factors will be deemed a deficiency. If the page limit is exceeded, only the first twenty-five pages of your narrative response will be reviewed.

Section V - *Application Selection Process* of the Lead Hazard Control NOFA and Section III – *Application Selection Process* of the General Section of the SuperNOFA describes the selection and award procedures to be followed for rating, ranking, and awarding grant funds.

10. Application Deadline: Please refer to the Notice of Funding Availability (NOFA) published in the Federal Register for the deadline for the receipt of applications. Applications must be submitted complete and on time as required in the NOFA. Applications received after the deadline established will be ineligible for consideration.

11. New Security Procedures. In response to the terrorist attacks in September 2001, HUD has implemented new security procedures that impact on application submission procedures. Please read the following instructions carefully and completely. **HUD will not accept hand delivered applications.** Applications may be mailed using the United States Postal Service (USPS) or may be shipped via the following delivery services: United Parcel Service (UPS), FedEx, DHL, or Falcon Carrier. ***No other delivery services are permitted into HUD Headquarters without escort. You must, therefore, use one of the four carriers listed above.***

Mailed Applications. Your application will be considered timely filed if your application is postmarked on or before **12:00 midnight** on the application due date and received by the designated HUD Office on or within **fifteen (15) days** of the application due date. All applicants must obtain and save a Certificate of Mailing showing the date when you submitted your application to the United States Postal Service (USPS). The Certificate of Mailing will be your documentary evidence that your application was timely filed.

Applications Sent by Overnight/Express Mail Delivery. If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date. **Due to new security measures, you must use one of four carrier services that do business with HUD Headquarters regularly. These services are UPS, DHL, FedEx and Falcon Carrier.** Delivery by these services must be made during HUD's Headquarters business hours, between 8:30 AM and 5:30 PM Eastern time, Monday to Friday. If these companies do not service your area, you should submit your application via the United States Postal Service.

Address for Submitting Applications.

Submit an **original** and **four copies** of your application package to:

U.S. Department of Housing and Urban Development
Office of Healthy Homes and Lead Hazard Control
Attn: Mr. Ellis G. Goldman
451 Seventh Street SW, Suite P3206
Washington, D.C. 20410

12. Corrections to Deficient Applications : Section V of the General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

13. Post Award Requirements: Those applicants selected for funding may be required to submit the following materials as part of the grant negotiation process.

- a. Copy of the most recent audit report for the program or unit of government.
- b. Overhead, fringe benefits, and indirect cost rates and documentation of Federal approval.
- c. Documentation of approved pay scales.

It is not necessary to provide these materials as part of the application for funding.

14. Further Information: If you have any questions regarding your application or any other aspect of the grant program, call Ellis G. Goldman at (202) 755-1785, ext. 112. (This is not a toll-free number).

SECTION 2. PREPARING YOUR APPLICATION

(Grantees eligible to submit a Request for Renewal Grant must follow the instructions beginning on Page 89)

Transmittal Letter

Prepare a brief letter applying for the grant and signed by the Chief Executive or other authorized official. The transmittal letter should indicate the applicant agency, the amount of the grant requested, the amount of cash or in-kind matching contributions and the number of housing units in which lead hazard control will be conducted. Also include the name, telephone number, facsimile number, and e-mail address of the individual to contact for further information pertaining to the application.

Applicant Abstract

Prepare a brief (**two page maximum**) abstract describing your jurisdiction, and the proposed lead-based paint hazard control project. Include the following items (be specific and concise):

- the amount of the Federal request and the amount of the matching contribution;
- the number of units in which lead hazard control activities will be conducted;
- the organization(s) that will participate in the program, either conducting lead hazard control activities or in another role;
- demographic, socio-economic and housing characteristics of neighborhood(s) selected for hazard control activities;
- your prior activities, experience and achievements in residential lead-based paint hazard control work or related work, including testing and treatment methods, and collaboration with other agencies;
- the scope and magnitude of the proposed hazard control project that details the area selected, number of housing units, intended beneficiaries, and the projected impact on the neighborhood/jurisdiction; and
- how the work will be accomplished.

Required Forms

Prepare and submit the following forms (found in the back of this book) as part of your application:

Current grantee applicants submitting a “Request for Renewal” are only required to submit the forms identified as *RFR*. (See “Request for Renewal” Checklist and Submission Table of Contents for other application requirements)

SF-LLL	Disclosure of Lobbying Activities *
SF 424	Application for Federal Assistance * (<i>RFR</i>)
SF-424A	Budget Information - Non Construction Programs * † (<i>RFR</i>) complete only page 1 of the SF-424A
SF-424B	Assurances - Non-Construction Programs *
HUD-424 -M	Federal Assistance Funding Matrix (<i>RFR</i>)
HUD-2880	Applicant/Recipient Disclosure/Update Report *
HUD-2990	Certification of Consistency with the EZ/EC Strategic Plan *
HUD-2991	Certification of Consistency with the Consolidated Plan *
HUD-2992	Certification Regarding Debarment and Suspension (<i>RFR</i>)*
HUD-2993	Acknowledgment of Application Receipt * (<i>RFR</i>)
HUD-50070	Certification for a Drug-Free Workplace *
HUD-50071	Certification of Payments to Influence Federal Transactions (<i>RFR</i>)*
	Total Budget (Federal Share and Matching) † (<i>RFR</i>)

* These forms are also available as fillable Adobe Reader (PDF) or Word (DOC) formats from the HUDClips website at: www.hudclips.org (available from the HUD homepage at www.hud.gov).

† These forms are also available as Excel (XLS) spreadsheet from the HUD Office of Healthy Homes and Lead Hazard Control website at: www.hud.gov/offices/lead (available from the HUD homepage at www.hud.gov).

Applicants are encouraged to use the electronic version of the Total Budget (Federal Share and Matching).

Factors for Award and Scoring

The applications will be rated according to the five technical rating factors totaling 100 points. ***A minimum score of 70 is required for fundable applications.*** Applications from previously unfunded and current or prior grantees will be evaluated separately (previously unfunded applicants will not compete against current or prior grantees).

Current or prior Lead Hazard Control grantees will be rated in Factor 3 (Soundness of Approach) on for their performance in implementing their most recent grant award work plan. Previously unfunded applicants will be rated in Factor 3 (Soundness of Approach) on their proposed work plan and budget.

Rating Factor	Previously Unfunded Applicant	Current or Prior Grantee Applicant
1. Capacity of the Applicant and Relevant Organizational Experience	20 points	20 points
2. Need/Extent of the Problem	20 points	20 points
3. Soundness of Approach	40 points	50 points
4. Leveraging Resources	10 points	5 points
5. Coordination, Self-Sufficiency, and Sustainability	10 points	5 points
Empowerment Zone and Enterprise Community Bonus Points	2 points	2 points
Brownfield Showcase Community (Not Applicable to Lead Hazard Control Grant Program)	2 points (NA)	2 points (NA)
Dallas, TX Court-Ordered Consideration	2 points	2 points
TOTAL	106 points	106 points

Two bonus points will be awarded for eligible activities/projects proposed to be located in **Federally designated** Empowerment Zones (EZs), Enterprise Communities (ECs), Urban Enhanced Enterprise Communities (EECs), Strategic Planning Communities, or Renewal Communities that serve the residents of these federally designated areas, and are certified to be consistent with the strategic plan of these federally designated areas.

If you wish to be considered for these bonus points you should submit the Certification of Consistency with the federally designated area's Strategic Plan. A listing of these federally designated areas is attached to the General Section of the SuperNOFA and is available through the HUD web site at: <http://www.hud.gov>. Identify the aspects of your proposed program that will occur within the boundaries of these federally designated areas. If applicable, you should have the authorized official sign and date the Certification of Consistency with the Strategic Plan (HUD Form 2990) applicable to the federally designated area, and include it with your application.

Under the SuperNOFA two bonus points are available for Federally designated Brownfields Showcase Communities (**These bonus points are not applicable to the lead hazard control grant program**). A listing of these communities is available from the SuperNOFA Information Center or through the HUD website on the Internet at: <http://www.hud.gov>

Up to two bonus points are available for any application from the City of Dallas, Texas. (See Section III (C)(3) of the General Section of the SuperNOFA for details).

Budget

The proposed budget will be evaluated in terms of whether it is reasonable, clearly justified, and proposes to support eligible activities consistent with the intended use of the grant funds. A maximum of 30 months for current or prior grantees and 36 months for previously unfunded applicants shall be budgeted for the planning, implementation, and completion of lead hazard control activities.

The applicant must provide a matching contribution of at least 10% of the requested grant sum. The match requirement may be in the form of cash, including private sector funding or in-kind (non-cash) contributions or a combination of these sources. With the sole exception of Community Development Block Grant (CDBG) funds, Federal funds may not be used to satisfy the statutory 10% matching requirement. Federal funds may be used, however, for matching contributions above the statutory requirement.

The applicant must allocate a minimum of 60% of its requested grant for direct lead hazard control activities. Direct lead hazard control activities consist of dust testing, hazard screens, lead inspections, risk assessments, lead hazard control services, and clearance examinations. Direct lead hazard control activities do not include relocation, blood testing of residents or workers, housing rehabilitation, training, community education, applied research, purchase of supplies or equipment, or administrative costs.

For most applicants, at least two (2) percent of the total Federal amount in the budget proposal will be necessary to promote the expansion of a workforce properly trained in lead-safe work practices and which is available to conduct interim controls and follow lead-safe work practices while performing work on HUD assisted housing units per the provisions of the HUD Lead Safe Housing Regulation 24 CFR Part 35 (1330(a)(4)(iii)(v), and to safely repair, rehabilitate, and maintain other privately-owned residential property. Any applicant that proposes to use less than 2% of the total Federal amount for this purpose shall present evidence that there is currently in place a workforce that is sufficient in size and is properly trained to carry out the work under the Lead Hazard Control grant and the HUD Lead-Safe Housing Regulation.

HUD reserves the right to not approve or fund all proposed activities. All budget categories and costs (Standard Form 424A Section B) and Total Budget (Federal Share and Matching) and major tasks should be thoroughly documented and justified.

Include pertinent historical data as well as information obtained from various vendors. All direct labor or salaries must be supported with documented pay scales. All fringe and indirect cost rates must be supported by audited data. It is not necessary to provide audit data or pay scales with the application.

The budget shall include not more than 10 percent for administrative costs and not less than 90 percent for direct project elements.

Please complete the Total Budget for the entire period of performance (Federal Share and Matching) using the Sample Form as a guide. You are encouraged to use the spreadsheet version that may be downloaded from www.hud.gov or www.hud.gov/offices/lead. Cost elements include: Direct Labor, Fringe Benefits, Travel, Equipment, Materials & Supplies, Consultants, Subcontracts, Other Direct Costs, and Indirect Costs. The narrative justification associated with these budgeted costs should be included as an attachment to the completed Total Budget (Federal Share and Matching) Forms. The budget narrative justification is not counted as part of the 25 page limit for the rating responses.

Matching in-kind and cash contributions are to be reflected on Standard Form 424A Section B. (See Exhibit B for an example on how to complete this form).

Key Points and Guidance for Developing Budget

The applicant* may develop its budget request with the following items or assumptions included:

- Direct labor costs should include all full- and part-time staff required for the 36-month (30 months for current or prior grantees) planning and implementation phase of grant program activities. These costs should be based on FTE or hours/year (e.g., one FTE equals 2080 hours per year or local equivalent). State or local pay scales should be provided as an appendix to the application.

- Travel expenses should be budgeted to allow for 3 trips (of 2 to 3 days in length) to Washington, DC for a maximum of 3 individuals.
- A maximum of two field-portable XRF machines may be purchased.

*Any subcontracts, sub-grants, or sub-recipients of the applicant that is to receive greater than 10 percent of the total Federal budget request should provide a similar cost proposal breakout in the application.

Responses to Rating Factors

Please respond to each of the five Rating Factor items.

This NOFA limits your narrative response to the Rating Factors to **a total of twenty-five (25) pages**.

Responses must have clearly numbered pages, a complete table of contents, appendices (as described), and be typewritten on one (1) side only on 8 1/2" x 11" paper using a 12 point font with not less than 3/4" margins on all sides.

Appendices for the response to the Rating Factors may only consist of required threshold documents such as a copy of the lead-based paint element of the Consolidated Plan, tabular scientific data validating rating factor responses, organizational chart(s), resumes (no more than two pages each), job descriptions, Memorandums of Agreement/Understanding, letters of commitment for participating in project, supporting documentation from the Analysis of Impediments, other pertinent Fair Housing and Equal Opportunity planning documents, and other letters of support.

Within the grant resources available, HUD intends to fund the highest rated applications receiving a minimum score of 70, but reserves the right to fund other eligible applicants to ensure that available funds are used effectively to promote the purposes of Title X. (See Section V of the Lead Hazard Control NOFA and Section III of the General Section of the SuperNOFA for the process used by HUD for the application selection, rating, ranking and awarding of grant funds.

Rating Factor Response

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Rating Factors

Key Points to Consider	<p>Factor 1:</p> <p>CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL EXPERIENCE</p> <p>20 points for All Applicants</p>
In this factor, you should detail:	<p>Demonstrate that your organization has the skills, authority and capability to successfully initiate and carry out the lead-based paint hazard control program within the required time frames set forth in the NOFA.</p>
<ul style="list-style-type: none"> The skills and experience of staff and applicant agency T description of participating organizations and the roles they will play 	<p>1. ADMINISTRATIVE AND PROGRAM MANAGEMENT CAPACITY</p> <p>20 points for Previously Unfunded Applicants 10 points for Current or Prior Grantee Applicants</p>
<ul style="list-style-type: none"> If a current or prior grantee, the progress and achievements made in implementing your most recent grant award Percentage of time each staff person or contractor will devote to project – a staffing roster may be included in Appendix 1 to provide this information 	<p>Provide a comprehensive description of your administrative organization (including staff who will be responsible for carrying out the program), the participating organizations, and the roles each will perform in implementing the Work Plan (including other state and local agencies, consortium associates, faith-based and community-based organizations, sub-grantees, partners, subcontractors, sub-recipients, joint venture participants, and others assisting in implementing the project). Describe the process for effectively integrating other governmental and faith-based and community-based organizations into planning and implementing this grant. Describe your substantial involvement in the oversight of the participating organizations and general oversight of the grant.</p>
<ul style="list-style-type: none"> How existing resources already devoted to lead hazard control work will continue to be provided and used in conjunction with the HUD Lead Hazard Control grant funds The level of involvement that your agency will have in the general oversight of the program and the participating organizations 	<p>Indicate the key personnel, their position titles, their qualifications, their specific project responsibilities, and percentage of their time to be devoted to the project as well as any salary costs to be paid by the grant. Table 1 in Annex 7 provides the format for this information (Include Table 1 in Appendix 1). Demonstrate that you have sufficient personnel or can quickly access qualified experts or professionals, to carry out the proposed activities in a timely and effective fashion. Describe your efforts to obtain and/or retain qualified lead hazard control contractors to conduct testing and hazard control work. Include a clearly identified organizational chart for the Lead Hazard Control grant program effort in Appendix 1. Include resumes (limited to no more than two pages each) and salary information for up to three key staff (e.g. Project Director, Day-to-Day Program Manager) in Appendix 1. <i>(Please note that certifications, licenses, or other documentation related to personnel should not be submitted. If the certifications are relevant, they should be indicated on the resume or the staffing roster.)</i> If new staff persons are recruited for the lead hazard control project, a copy of the position description that details the skills, experience, proposed duties, responsibilities, and salary for each new hire should be provided in Appendix 1. An explanation should be provided denoting whether new hires will be contractual employees or employees of the State, county, tribe, or municipality.</p>
<ul style="list-style-type: none"> Plans to concurrently implement lead hazard control activities with your most recent grant award, if you are a current or prior grantee The approach used to ensure that “shared” resources (staff of other related programs) will be available 	<p>Describe the recent experience and the capacity of your jurisdiction to initiate and successfully implement lead hazard control efforts and/or similar environmental, health, or housing projects. Indicate any past experience in providing cost-effective lead-based paint hazard control activities in conjunction with other Federal, State, tribal, or locally funded programs (e.g. CDBG or HOME rehabilitation, childhood lead poisoning prevention programs, or weatherization projects). Describe your jurisdiction’s readiness and ability, including other governmental and faith-based and community-based partners, to immediately begin the proposed work program and complete the testing and hazard control program within the period of performance. Describe any prior work history of the agencies and groups that will work together under this grant, including other cooperative efforts or other lead program activities. Detail the efforts to be made to ensure that HUD grant funds will not be used to supplant</p>

Key Points to Consider

- Knowledge and experience of the day-to-day program manager and other key staff

existing resources devoted to lead hazard control work. Table 2 in Annex 7 provides the format for jurisdiction experience and capacity information. The applicant should complete Table 2 or facsimile that describes other related (non-OLHC) lead grant programs and include in Appendix 1.

Describe the demonstrated knowledge and experience of the proposed overall project director and the day-to-day program manager in planning and managing large and complex interdisciplinary programs involving housing rehabilitation, public health, and environmental management. Discuss prior and current experience of the proposed manager and staff in dealing with lead-based paint hazard control or similar projects and how they relate to the lead-based paint hazard control project.

Discuss how the project will be managed on a day-to-day basis. The percentage of time devoted to the project as well as the knowledge and experience of the project director and day-to-day program manager are significant factors to be considered. To be eligible to receive maximum points, your day-to-day program manager must be dedicated to the grant program for a minimum of 75% of his/her time. Provide a discussion of the authority and responsibility of the project director and program manager in ensuring that the program will be carried out according to the proposed work plan and that health and housing program coordination occurs.

- How you will ensure that hazard control work will be conducted using qualified personnel

Each applicant must carry out the hazard control portion of the program (hazard abatement and interim controls using qualified personnel in compliance with HUD's Lead-Safe Housing Rule, 24 CFR Part 35 especially Sections 35.1325 and 35.1330. (See Definitions in Annex 2 under an operational EPA authorized State program that is at least as protective as the training and certification program requirements outlined in Annex 6 of this application kit.

(State applicants must have an EPA approved State program for certification of lead-based paint contractors, inspectors and risk assessors in accordance with 40 CFR 745. See Annex 6 of this application kit)

Key Points to Consider Current or Prior Grantees

- Describe your achievements in meeting your current program goals and objectives including:
 - Cost-Effectiveness
 - Capacity Building
 - Implementing Lead-Safe Housing Rule
 - Meeting Milestones for Education, Outreach and Training
 - Positive Impacts in Community
 - Timely reporting of program efforts to HUD

2. EXPERIENCE, PROGRESS AND ACHIEVEMENTS

10 points for Current or Prior Grantee Applicants Only

Current or prior grantee applicants must provide a description of the progress and achievements made in implementing its most recent grant award within its current period of performance.

(Please note that current or prior grantee performance related to the completion of units and expenditure of HUD grant funds will be rated in Factor 3 Soundness of Approach and will not be scored in this Rating Factor)

Results achieved in conducting lead hazard control grant activities should be described including:

- Cost-effective methods undertaken to ensure that program achieved goals and objectives within period of performance
- Efforts undertaken to build local capacity (expanding contractor pool, new collaborative partnerships with health, housing, and faith-based and community-based organizations, lead-safe housing registry, integrating program with rehabilitation, code violation correction, or weatherization projects)

Key Points to Consider

- Your plans for concurrently implementing multiple HUD grants and in allocating staff and resources
 - Activities undertaken to implement HUD's Lead-Safe Housing Rule and mainstream HUD's lead-safe work practices into the private market
 - Meeting work plan objectives and milestones for conducting effective education, outreach and other training activities.
 - Description of positive impacts resulting from program activities within the community (e.g. decreases in the number of children with elevated blood lead levels, decrease in average blood lead levels, and dust wipe test levels, and increases in the number of non-grant funded lead hazard control projects within the community.
- Current or prior grantee applicant that have demonstrated greater progress in the implementation of their most recent grant award will receive more favorable consideration under this factor for award. **Current grantees must also describe their plans to concurrently implement lead hazard control activities under this NOFA with other HUD Lead Hazard Control Grant Program funds especially in allocating staff and other program costs or resources for all HUD lead hazard control grant program funds.**

Key Points to Consider

In response to this factor, detail the following:

- Document the need in the target area(s) where activities are proposed to take place, *or* the entire jurisdiction if the entire jurisdiction is proposed as the target area
- Describe the scope and magnitude of the current lead-based paint problem that will be addressed with grant program funds.
- The number and percentage of children less than 6 years of age (72 months) tested for blood lead levels
- The number and percentage of children identified with an EBL, the number and proportion of children less than 6 years of age (72 months) that are at risk for lead poisoning, and the sources for this information
- The number of very low and low-income families within the target area (<50% and ≥50% -<80% of AMI)

Factor 2:

NEED/EXTENT OF THE PROBLEM

20 points for All Applicants

Document a critical level of need for your proposed activities in the geographical area where activities will be carried out. Since an objective of the program is to prevent at-risk children from being poisoned, specific attention must be paid to documenting such need as it applies to the targeted areas, rather than the entire locality or state. Demonstrate the degree of need for the proposed program to address a documented problem. This need should be based on evidence of lead poisoning, the presence of lead hazards, high risk children and high risk housing in any proposed target area(s).

If you do not have economic, demographic, and housing data for the targeted areas, your responses to the following sub-factors should include a discussion of why those targeted areas were identified and what criteria were used.

Include other information that may document your need for assistance, including information contained in the Consolidated Plan's Analysis of Impediments (AI) and its lead-based paint element or strategy or information obtained from other sources.

1. SOCIO-ECONOMIC CONDITIONS

Document the number and percentage of children less than six years of age (72 months) that were tested for blood lead levels, the number and percentage of children identified with elevated blood lead levels in your jurisdiction as well as in the areas targeted in your proposal. Table 3 (in Annex 7) provides a format for this information. In addition, document the number and proportion of children less than six years of age at risk of lead poisoning in the target area. Detail how this information was determined.

Document the number and percentage of families whose incomes do not exceed 50 (very low) and 80 (low) percent of the median income for the target area as determined by HUD, with adjustments for family size. See Table 4c and 4d in Annex 7 for a format for this information. Note: the 50 and 80 percent income levels may be obtained from www.huduser.org

Key Points to Consider

- Other socio-economic or environmental factors relating to applicant need

Detail any other socioeconomic, or environmental factors that document a need to establish, continue, or expand lead hazard control work in your target area (e.g. availability of affordable housing, unemployment rates, poverty levels, single head of household, high school graduation rates, etc).

Detail any other data relevant to the target area or jurisdiction that may document a need for lead-safe housing. These data may include the number of units that have been occupied by lead poisoned children where the identified lead-based paint hazards have not been remediated, the number of lead-based paint health and/or housing code violations that remain uncorrected or are pending administrative or court proceedings, or the number of pre-1978 or pre-1960 housing units anticipated to undergo rehabilitation in the next 12 months.

2. HOUSING STOCK

- The age and condition (interior/exterior) of the units to be treated, as well as the sources for this information
- The number or proportion of units with lead dust hazards, other sources of lead exposure within the community, housing characteristics most affected, or provide other available housing data to document the need for lead hazard control

Document the age and condition of housing in the target area. If possible, please provide housing data in the following categories: pre-1940 construction, pre-1950 construction, pre-1960 construction and pre-1978 construction. Document the number and proportion of pre-1978 housing units with deteriorating interior and exterior lead-based paint, lead-contaminated dust or bare lead-contaminated soil. Document the proportion or number of units with lead dust hazards, information about the principal sources of exposure in your community, their prevalence, and the segments and/or characteristics of the housing most affected by these exposure sources; and other information about housing condition that is available. Include other relevant housing data that document a need for lead hazard control work. Detail how this information was determined (Consolidated Plan, housing surveys, other data sources, etc.). Table 4a and 4b in Annex 7 provides a format for this information.

If data on housing age and condition are available only for the jurisdiction, you should provide a subjective assessment that compares the target areas to the overall jurisdiction.

- Information on both the targeted areas as well as the entire jurisdiction
- The condition and type of the housing stock

Additional maps, tables, charts, or other pertinent data may be included in Appendix 2.

3. CONSOLIDATED PLAN

- The relationship of the Consolidated Plan and the Analysis of Impediments with the request for assistance

Detail the relationship between the proposed activities, community needs, and the purpose of the program funding. Document the levels of priority that have been placed on addressing the needs as noted in your community's Consolidated Plan. You should also discuss "Need" in terms of fulfilling the requirements of court actions, court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements including those related to the Analysis of Impediments to Fair Housing Choice. HUD will review more favorably applications in which the Consolidated Plan or Analysis of Impediments supports the need for your specific proposed project or documents an impediment to fair housing that your specific project will address. If your community's Consolidated Plan or Analysis of Impediments does not show the need for lead-based paint hazard control or an impediment that lead-based paint hazard control will address, you should address other data that demonstrates the need or impediment (data may be available from State or local sources, current census data or available from special studies or other childhood lead poisoning prevention programs or local initiatives).

Key Points to Consider	Factor 3:	SOUNDNESS OF APPROACH
In this factor, you should detail:		40 points for Previously Unfunded Applicants 50 points for Current or Prior Grantee Applicants
<ul style="list-style-type: none"> • Specific, realistic and time-phased and measurable objectives, including lead hazard control activities • How the program will be managed and staffed 	<p>Demonstrate how the proposed Work Plan will result in cost-effective and measurable tasks or activities that will accomplish program objectives. To the extent possible, describe a comprehensive strategy that addresses the need to protect targeted neighborhoods rather than individual units or homes.</p> <p>Applicants should develop a work plan that includes specific, measurable and time-phased objectives for each major program activity.</p> <p><i>(Applicants may refer to the Office of Healthy Homes and Lead Hazard Control Policy Guidance Document Number 2001-03 available by accessing the Internet at: <http://www.hud.gov/offices/lead> or Annex7 of this NOFA includes guidance in developing a lead hazard control grant program work plan. This policy guidance provides a sample format and outline for developing the Lead Hazard Control Grant Program Work Plan)</i></p> <p>Applicants should describe the extent to which the activities to be implemented will provide HUD with measurable results to be achieved with the funds requested. Measurable results should be stated in terms relevant to the purpose of program funds as a direct result of the work performed within the performance period of the grant (e.g., estimated number of units to be made lead-safe, estimated number of children living in units made lead-safe, estimated number of persons to be trained to perform lead hazard control activities, estimated number of educational programs to be presented and/or the number of persons to be served by such programs, and the basis for these estimates). Each proposed activity must be eligible as described in the NOFA and meet statutory requirements for assistance to low- and very low-income persons.</p>	

1. LEAD HAZARD CONTROL WORK PLAN STRATEGY

32 points for Previously Unfunded Applicants
42 points for Current or Prior Grantee Applicants

Key Points to Consider	A. Implementing a Lead Hazard Control Program
In Rating Factor 3 (1)(A) the following specific goals/objectives are to be addressed:	
<ul style="list-style-type: none"> • Target area(s) selected 	<p>13 of the 32 points for Previously Unfunded Applicants 6 of the 42 points for Current or Prior Grantee Applicants</p> <p>Describe the actions you will take to implement this grant program in your jurisdiction. Describe your work plan goals and specific time-phased strategy to complete work under the grant. Specifically your work plan goals and objectives should address the following:</p> <p>The target area(s) selected. Describe the target area and/or subset of the housing stock in which lead hazard control will be performed (maps, tables, and data may be included as an appendix).</p> <ul style="list-style-type: none"> • Is the target area of eligible privately-owned housing proposed for lead hazard control a particular area, census tract, community or neighborhood? • Are units to be included in lead hazard control work chosen on an individual unit-by-unit basis, or does your plan for lead hazard control encompass all units in a building, community or particular neighborhood? • To what extent will the proposed activities occur in an Empowerment Zone or Enterprise Community? How will the proposed activities benefit the residents of those zones or communities?

Key Points to Consider

In Rating Factor 3 (1)(A) the following specific goals/objectives are to be addressed:

- How the program will be managed and staffed and the steps to be taken to implement the program in a timely and cost effective manner
- Selection and funding mechanism to be used for participants, partners and enrollees in the program
- Creating a pool of certified and trained contractors and workers
- The process used for the development of work specifications and bids
- The number of units, by occupancy status that will receive LHC work
- Describe the eligibility, identification, selection, and priority, or other criteria used for units to be enrolled in the program
- the number of units to be tested and treated and the estimated costs
- the temporary relocation plan
- awareness, education, and outreach efforts
- program evaluation and data collection efforts
- provisions for employment and economic development opportunities for low- and very low-income persons

Describe how the project will be managed and staffed including how the program will coordinate efforts among the various partners and services provided

Steps taken to ensure the availability of lead-based paint contractors and workers to conduct lead hazard control interventions

Other steps needed during the planning phase of the program in order to implement the lead hazard control intervention phase in a timely and cost-effective manner (e.g. Environmental Review Requirements and Request for Release of Funds)

The process for selecting subgrantees, subrecipients, or subcontractors and how funding assistance will be provided to them

Describe the process for developing work specifications and the efforts that will be undertaken to obtain contractors to bid on conducting lead hazard control activities in the units selected. Describe the lead-based paint contractor selection process for both the testing and the lead hazard control elements of the project.

The projected number of units to undergo lead hazard control intervention work and the strategy for the identification, prioritization, selection, and enrollment of these units. Discuss the eligibility criteria for unit selection and how the program will identify units that meet these criteria. Explain how referrals from childhood lead poisoning prevention programs, housing programs or other programs that serve children will be obtained and whether there are any formal or informal agreements with these programs. Describe the degree to which the work plan focuses on eligible privately-owned housing units occupied with children under 6 years of age (72 months).

Describe the efforts to enroll owner-occupants, investor owners, landlords, and tenants. Detail which of the following classifications are also selection criteria and describe why those criteria are proposed for use:

- vacant properties to be occupied by families with children under six years of age
- older housing (pre-1978, pre-1960, pre-1950, pre-1940)
- substandard housing
- other factors
- Describe the status of units (owner-occupied, rental, or vacant) in which lead hazard control interventions are likely to be undertaken. Table 5 (in Annex 7) provides a format for this information. In addition, provide a description of the physical size (i.e., number of bedrooms) and general physical building characteristics (e.g., predominately detached, single family, wooden structure) of the eligible privately-owned units within your jurisdiction. While a comprehensive assessment provides the greatest amount of information, an abbreviated assessment should be included if more information is unavailable.

Describe your strategy for conducting risk assessments, paint inspections, and lead hazard control in units selected for participation in the program (housing having a risk assessment or inspection before a grant award may be included in the grant program if they were performed in accordance with the HUD Guidelines).

Key Points to Consider

- Describe the program's funding mechanism
 - Describe your approach to identify and control lead hazards in vacant and/or occupied units before children are poisoned and your plans to ensure that the program will continue to match these units with low-income families with young children in the future. Discuss your strategy to control hazards in housing units that have already been identified with a child with an elevated blood lead level. Describe the degree to which the work plan focuses on housing units with children under 6 years old, including those already with EBL children. Describe how your strategy will allow the program to address the needs of EBL children living outside the targeted areas.
 - Provide a detailed description of your funding mechanism or strategy to provide assistance to or on behalf of property owners:
 - Denote which organization or agency will administer/monitor the financing program, detail its qualifications, and describe its operating procedures
 - Describe whether the funding mechanism for the lead hazard control will involve the use of grants, deferred loans, forgivable loans and the basis and schedule for forgiveness, mortgage restrictions or private sector financing
 - Describe the eligibility criteria, terms, conditions, and amounts (including any dollar limits, affordability terms, and recapture provisions) available for financing lead hazard control work in eligible units.
 - Describe any matching requirements proposed for assistance to investor-owned properties. Investor-owner match that is documented as a program requirement should also be reflected in your response to Factor 4.
 - State whether tax credits, rebates or other incentives will be used.
- Describe how program will meet needs identified in Consolidated Plan and Analysis of Impediments. Include actions taken to affirmatively further fair housing choice
 - Describe how the proposed program will satisfy the needs articulated in the Consolidated Plan and will assist in overcoming the effects of the impediments noted in the Analysis of Impediments. Describe how the proposed program will further and support the policy priorities of the Department, including the provision of lead-safe units that will remain affordable (OHHLHC recommends that grantees allow landlords to charge no more than the lesser of the fair market rent for existing housing for comparable units in the area or 30 percent of a tenant's adjusted income. For a detailed discussion of affordable rents please refer to the HOME regulation at 24 CFR 92.252(a)); the expansion of fair housing choice; the promotion of healthy homes; and the provision of educational and job training opportunities. Describe how your strategy will provide long-term benefits to families with children under six years of age.
 - Describe how this program will relate to other HUD-funded rehabilitation, community-funded rehabilitation, and other federal lead programs (i.e., EPA, CDC).

Key Points to Consider

In Rating Factor 3 (1)(B)

- Applicants that partner, fund, or subcontract with grassroots faith-based and other community-based organizations to conduct some outreach activities will receive higher points in this subfactor. (See Section (VI) (E) of the General Section of SuperNOFA for details)

B. Lead Hazard Control Outreach and Community Private Sector Involvement

6 of the 32 points for Previously Unfunded Applicants

6 of the 42 points for Current or Prior Grantee Applicants

Describe the specific plan for general and/or targeted efforts (other than our grant program) currently underway to address lead exposure in your jurisdiction (e.g., childhood lead poisoning prevention programs, education or public awareness campaigns).

Describe the proposed community awareness, education, training, and outreach activities to be conducted in support of the work plan and objectives. This activity should go beyond testing and hazard control and try to ensure that all families will have adequate, lead-safe housing. Your description should discuss:

- Who will be responsible for ensuring that these activities are implemented? Name the organization or individual responsible for ensuring that this plan is carried out.
- Will grassroots faith-based and other community-based organizations perform any of the proposed activities?

Applicants are encouraged to solicit participation of grassroots faith-based, other community-based and private sector organizations to accomplish outreach and community involvement activities and to build long-term capacity and sustain accomplishments in the target area.

Which groups will be targeted for education and outreach efforts (parents, landlords, real estate brokers/agents, etc.)?

Will the local health care providers, non-profit housing corporations, the public school system or others be involved?

How will low-income persons participate in the selection or delivery of education and outreach services?

What will be the content and format of information to be delivered or distributed?

What media will be used (e.g., TV, radio, feature articles in newspapers)? Be specific in discussing how this media will be used.

How will your educational outreach and enrollment programs meet the diverse cultural or language needs of the residents? What are the languages of your targeted groups?

Describe how the effectiveness of your outreach program will be assessed.

Key Points to Consider

In Rating Factor 3 (1)(C)(1), using interim control of lead-based paint hazards in housing may include any of the following:

- Repairing rotted or defective substrates that could lead to rapid paint deterioration Note: Although repairing defective building systems that cause substrate damage is a prerequisite for effective interim control, lead hazard control grant funds cannot be used for major repairs to building systems. Thus, a roof can be patched but not replaced. For major rehabilitation, other resources must be used.
- Paint film stabilization -- stabilizing all deteriorated lead-based paint surfaces by removing deteriorating paint and repainting.
- Friction and impact surface treatments -- treating floors and interior windowsills and window troughs so that they are smooth and cleanable. Windows, doors, stair treads, and floors should be treated if they are generating lead-based paint chips or excessive levels of leaded dust that cannot be controlled with ordinary cleaning.
- Treating protruding, accessible surfaces, such as interior windowsills, where lead-based paint may be present and there is either visual or reported evidence that children are mouthing or chewing on them.
- Treating bare soil around the perimeter of a home or in children's play areas containing excessive levels of lead.

C. Technical Approach for Conducting Lead Hazard Control Activities

13 of the 32 points for Previously Unfunded Applicants
30 of the 42 points for Current or Prior Grantee Applicants

(Current or prior grantees will be evaluated on the basis of cumulative unit production and cumulative LOCCS drawdowns made under the grantee's most recent award for the period ending March 31, 2002 for this subfactor. See 2. Below)

1. Previously Unfunded Applicant Response (13 Points)

Note: Current and prior grantees are not scored under C.1. of this subfactor but are scored under C.2. of this subfactor.

Your narrative response to this sub-factor will be used to assess how well the program will perform. The discussion should include the essential responses (who, what, when, why, where, and how) and provide the information necessary to understand the activities. This information may be provided as a discussion of a "typical" unit being treated in which you describe the process for selecting, testing, contracting, and completing a unit. This description should include a discussion of the participating organizations, responsibilities, costs, and duration.

Describe the lead-based paint standards that will be used. You may use State statute, local ordinance, or the HUD standards (1.0 mg/cm² or 0.5% by weight). Identify proposed standards that are more restrictive than the HUD's. Standards less stringent than HUD's may not be used.

Clearance dust testing must be conducted according to the HUD Guidelines and the EPA lead hazards standards rule at 40 CFR 745 subparts D and L. The EPA and HUD clearance and risk assessment standards for lead-contaminated dust are 40 µg/ft² for floors, 250 µg/ft² for interior windowsills, and 400 µg/ft² (clearance only) for window troughs (wells).

Describe the testing methods, schedule, and estimated costs for performing risk assessments, inspections, or a combined risk assessment and inspection. Detail who will provide these evaluation services. The laboratory to be used by the program for analysis of environmental samples must be recognized under EPA's National Lead Laboratory Accreditation Program (NLLAP).

Describe the testing methods, schedule, estimated costs, and performers for the required blood lead testing of children under the age of six years occupying units scheduled for lead hazard control activity within six months prior to the commencement of such work. Discuss the process for the referral of children with elevated blood lead levels for medical case management.

Describe the lead hazard control method(s) or combination of methods that will be used. Describe the number of housing units to be treated for each method selected (e.g., low-level interventions, interim controls, hazard abatement). If complete abatement is proposed, provide the rationale for that decision, highlighting why less intensive approaches were not proposed. Describe how the proposed program will provide lead-safe housing to satisfy critical needs located outside your targeted areas.

Key Points to Consider

- Dust removal and control -- cleaning surfaces to reduce leaded dust to acceptable levels.
- The testing and hazard control methods to be used and the costs associated with these activities
- Justification for the hazard control methods selected
- The schedule for the program actions
- How work will be conducted safely by qualified personnel

Detail the process that will be used for the development of work specifications for the selected lead hazard control method(s). When will specifications be developed and bids awarded? How will the proposed lead hazard control activities be integrated with rehabilitation activities? Provide an estimate of the unit costs for each method proposed as part of the lead hazard control activity and the time frames projected to initiate, conduct, and complete lead hazard control work in units selected. The proposed cost estimates provided should be reasonable for the work to be performed and appropriate for the geographic area where the activities are occurring. Describe how these cost estimates were developed, comparing them to your previous experience in lead hazard control activities. Table 6 in Annex 7 provides a format for this information.

Discuss your schedules for the overall program as well as a typical unit. For the program, set your planned schedule for completing the planning process (approval of the Work Plan), completing lead hazard control on the first unit, and completing the project. For a typical unit, provide time estimates for enrollment, qualification, evaluation, hazard control, and clearance. Describe the management process that will be used to ensure the cost-effectiveness of the lead hazard control methods.

Describe proposed plans for the safe and effective conduct of the hazard control work. Certified individuals must be used for all testing and lead hazard control work, except very low level interventions requiring only dust control and minor paint stabilization (unless required by State or local laws or regulations). Non-certified individuals are allowed to perform paint stabilization when the area of paint being disturbed is no greater than 20 square feet on exterior surfaces, 2 square feet in an interior room, or 10% of a building component with a small surface area (such as a painted window frame). Discuss how you will ensure that the lead hazard control performers used in this grant program will be appropriately certified. Describe how your plan will ensure that certified risk assessors and inspectors performing unit testing will be independent of the abatement contractor.

- How occupants and workers will be protected during lead hazard control work in units
- Describe any post hazard control maintenance plans for units

Describe the plan for occupant protection and the temporary relocation of occupants of units selected for lead hazard control work:

- What relocation plans are envisioned for owner-occupants?
- Will the relocation of tenants in target housing involve the use of lead safe houses and/or other housing arrangements, stipends, and incentives?
- What are the estimated costs and will costs for moving and storage of household goods and other appropriate services be budgeted?

Describe proposed post-hazard control maintenance plans for units. Describe how ongoing monitoring and/or testing will be conducted by owners, residents or certified personnel.

Key Points to Consider

In Rating Factor 3 (1)(C)(2)

- Current or prior grantees should describe how the proposed grant activities in this application will be implemented concurrently with their current grant
- Current or prior grantees should explain any modifications made to their program strategies between this proposal and their most recent grant
- Your progress in meeting production goals and the timely LOCCS drawdowns to date.

Items Considered

- Current Production to Date
- Recent Progress
- Number of Extension Requests Needed to Complete Grant
- Extension Requests Resulting in an Increase in the Overall Number of Units in the Grant Agreement

2. Current or Prior Grantee Performance (30 Points)

30 of the 42 Points for Current or Prior Grantee Applicants

HUD will use the grantee progress report for the period ending March 31, 2002 in evaluating and scoring grantee performance in completing and clearing units under this rating factor. Production will be evaluated in conjunction with the cumulative expenditure of HUD grant funds from the Line of Credit Control System (LOCCS).

For previous grantees, production under your most current grant is used as the benchmark for predicting future performance. Current or prior grantees should provide a complete description of their progress and accomplishments in implementing their most recent lead hazard control grant award in Factor 1 of this NOFA. If the strategy and/or methods proposed in this application differ from your previous grant, the reasons for this modified strategy should be discussed. Current and prior grantees are to describe the actions that will be taken to ensure that proposed lead hazard control work will occur concurrently with other ongoing HUD lead hazard control grant work. This description should provide enough detail to assure HUD that you will be able to implement the proposed work concurrently with your current grant.

In this section of the rating factor, you must describe your progress in meeting the unit production goals included in your most recent lead hazard control grant award. Current or prior grantee's production will be evaluated and scored as measured by the percent of units completed and cleared as reported on the Grantee Quarterly Progress Report for the period ending March 31, 2002.

If the production (as measured by the percent of the units completed and cleared on the quarterly report ending March 31, 2002) of your most recent grant award is below 100% for Rounds One through Five, 75% for Round Six, 60% for Round Seven, or 45% for Round Eight, explain what changes in the strategy and proposed work plan or what steps have been taken to ensure that units will be completed in a timely and cost-effective manner. If your production is below the above values and no changes are proposed, explain why the strategy in the earlier grant remains appropriate and how your production will be increased for this round of funding.

Please note that the percentages shown above are not the same as the minimum performance needed to receive points under this Rating Factor.

In evaluating and scoring current or prior grantee performance, HUD will consider the length of time required by the grantee to achieve its current level of production. For grantees that received an extension of up to 12 months beyond their original period of performance, HUD may deduct a maximum of 2 points from the production performance score. For each budget extension beyond the first extension period, HUD may deduct a maximum of 3 points from the production performance score for each additional 12 month period required to complete work under the grant. HUD will consider progress made by the grantee during the 12 month period (April 1, 2001 - March 31, 2002) and whether any of the extension requests resulted in a **net increase** in the total number of units to be treated by the program (and reflected in the HUD grant agreement) in deciding whether to deduct the maximum points from the production performance score. Current or prior grantees must describe the reasons for requesting any extension, describe recent progress, and indicate whether any extension request included adding additional units to be completed under the grant agreement production goal in order for HUD to consider these in evaluating and scoring performance.

Key Points to Consider

In Rating Factor 3 (2)

- Describe your efforts to train individuals and contractors in housing related trades and in lead-safe work practices
- Describe how you will integrate lead-safety into other housing activities and in meeting the requirements of the HUD Lead-Safe Housing Rule in housing units rehabilitated or assisted with Federal funds.

Key Points to Consider

In Rating Factor 3 (3)

- Describe the mechanism to be used to evaluate program performance in achieving work plan goals and objectives

2. ECONOMIC OPPORTUNITY

4 points for All Applicants

Provide a discussion of how training, employment, business development, and contract opportunities will be promoted and/or provided while pursuing the goal of lead hazard control. Describe how you will integrate such activities in creating the workforce properly trained in lead-safe work practices and which is available to conduct interim controls on HUD assisted housing units being treated under the provisions of the HUD Lead-Safe Housing Rule. Include as evidence the names, descriptions and proposed roles, resources, and responsibilities of each participating group or organization, and include memoranda of understanding or agreement, letters of commitment, or other documentation detailing specific information on levels of participation and employment commitments. Specify how these efforts and job training/employment partnerships will be accomplished. Describe how individuals and contractors in housing related sectors such as painters, remodelers, renovators, maintenance personnel, and rehabilitation specialists will be trained in lead-safe practices. The application will be rated according to the quality and completeness of the information provided on the proposed activities of local participants.

Detail the extent to which opportunities are provided for:

- self-sufficiency, particularly for persons enrolled in welfare to work programs;
- enhanced economic, social and/or living environments in Empowerment Zones or Enterprise Communities; and
- educational and job training opportunities through such initiatives as AmeriCorps and CLEARCorps.

Section 3 of the Housing and Community Development Act of 1968 requires that, when employment or contract opportunities are generated, the recipient of HUD funding shall give preference in hiring to low- and very low-income persons, or in contracting to businesses owned by or that employ substantial numbers of low- and very low-income persons. To the greatest extent feasible, the applicant should detail how job training, employment, and other economic opportunities will be promoted for low-income residents and businesses which are owned by and/or employ low- and very low-income residents as defined in 24 CFR 135.5 (See 59 FR 33881, June 30, 1994).

3. PROGRAM EVALUATION, DATA COLLECTION, AND RESEARCH

4 points for All Applicants

Describe how your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program. Provide a description of the mechanism to be used to assess progress and track performance to ensure that the program will assist intended beneficiaries and will be conducted in a timely and cost-effective manner.

Describe how data and other program information will be obtained, documented, and shared among the various participants of the program (e.g., meetings, correspondence, reports) in order to enhance or otherwise improve program performance.

Key Points to Consider

Current or Prior Grantees Only

- Current or prior grantees are to submit their January -March 2002 quarterly report no later than April 30, 2002 as well as have a year's history of timely quarterly report submissions in order to receive maximum points for this rating factor.

Identify and discuss the specific methods to be used, in addition to HUD reporting requirements, to measure progress, evaluate program effectiveness, and identify program changes to improve performance.

Describe the objectives, methodology, and local impact of any proposed applied research activities to be funded under this program. If the proposed research program cannot be developed to the joint satisfaction of HUD and the grantee, the amount identified may be reprogrammed into other lead hazard control activities or the grant amount reduced.

Current grantees must be current in meeting their quarterly HUD reporting requirement to be eligible for the maximum number of points for this sub-factor.

Key Points to Consider

Factor 4:

LEVERAGING RESOURCES

In Rating Factor 4 (1)

10 points for Previously Unfunded Applicants

5 Points for Current or Prior Grantee Applicants

- Contractual or other formal relationships with faith-based and community-based organizations are a requirement for State and local government applicants
- Evidence of firm commitments and the appropriate use of leveraged resources above the 10% statutory requirement is necessary for receiving maximum points in this rating factor

HUD grant funds must not be used to supplant existing resources devoted to lead hazard control work.

Current and prior grantees will be evaluated on their ability to generate new and/or additional resources and partnerships with faith-based and community-based organizations committed to increasing lead poisoning prevention activities.

1. LEVEL OF PARTICIPATION

Provide a detailed description of your progress and accomplishments in enlisting the broad participation of specific government entities, faith-based and community-based organizations, public or private organizations, or other entities partnering with the applicant through specific commitments of time, effort, responsibilities, and resources (including private banks, insurance firms, local housing agencies, community development corporations, other faith-based and community-based organizations or advocacy groups). Current and prior grantees should discuss their efforts and any plans to expand or enhance their partnership efforts under this NOFA. Table 8 in Annex 7 provides the format for describing your partnership arrangements with faith-based, community-based and other organizations.

In this factor, you should:

- Identify the participation of faith-based and community-based organizations and the private sector in terms of time, effort, responsibilities, and resources
- Include in Appendix 4 copies of memorandums of understanding or agreement, letters of commitment, or other documentation detailing specific commitments. (Also complete and include Table 8 – Grant Partners in Appendix 4)
- Specify the amount and sources of the minimum 10 percent matching contribution

Detail any activities to increase the understanding of lead poisoning prevention activities in your community. This could include partnerships with childhood lead screening programs or collaboration with ongoing health, housing, or environmental research efforts that could result in a greater availability of resources.

Contractual relationships with faith-based and community-based organizations are a requirement for State and local government applicants and should be fully described. Applicants that do not have such relationships at the time of application will be required to establish contracts or other formal commitments with faith-based and community-based organizations (CBO) immediately following notification of the grant award. Applicants may also contract with other program funding recipients to coordinate the use of resources in the target area. The requirement to contract with faith-based and community-based organizations does not apply to tribal governments.

Key Points to Consider

- Current and prior grantees must provide a discussion of their plans to expand or enhance their partnership efforts under this NOFA
- Describe any existing or potential private sector resources including Community Reinvestment Act funding opportunities that are available to the lead hazard control grant program

Detail the informal or formal arrangements between the participating organizations and the applicant. Memoranda of understanding or agreement, letters of commitment, contracts, or other documentation detailing specific information on the type and level of participation should be included. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization. (See Requirement Summary)

The Community Reinvestment Act offers a significant and often overlooked opportunity to secure private sector financing of childhood lead poisoning prevention efforts by means of a wide variety of potential funding mechanisms. In addition, two programs exist that can make public sector funds available for the financing of lead hazard evaluation and control efforts through private sector banks: incentive- and linked-deposit programs. Applicants may refer to the publication, *Innovative Financing Sources for Lead Hazard Control* published by the Alliance to End Childhood Lead Poisoning (as noted in the Appendix) for further details.

Key Points to Consider

2. MATCHING CONTRIBUTION

In Rating Factor 4 (2)

- 10 percent matching contribution required

Remember:

- Points are only awarded for the matching contribution and other contributed resources that exceed the 10 percent statutory requirement
- Current and prior grantees must provide a discussion of their plans and efforts to obtain any new and/or additional resources that will be used under this NOFA, especially private sector resources

Matching funds must be shown to be specifically dedicated to and integrated into supporting the lead-based paint hazard control program. At a minimum, a 10 percent matching contribution of the requested grant sum must be provided. Specify the amount and sources of the minimum 10 percent matching contribution, any additional resources, and how they will be provided (i.e., by cash or by in-kind services or personnel). If in-kind contributions are used, attribute a monetary value, provide the basis for the value of the contribution, and explain how the contributions will be used in the project. Each source of contributions should be made in a letter of commitment from the contributing entity, describing the contributed resources and the monetary value. Resources directly contributed by the applicant are considered to be committed and do not require letters.

Community Development Block Grant (CDBG) funds are the only Federal funds that may be considered part of the 10 percent matching contribution and only to the extent that they are specifically dedicated to and integrated into supporting the lead-based paint hazard control program.

Matching contributions required of investor-owners may be included as part of your match. Documentation and estimates for the amount of the match should be provided in the annex for this factor.

Staff in-kind contributions should be correlated with the discussion above. Absence of letters of commitments, or inclusion of letters without adequate detail, will result in that contribution not being counted.

See sample of Standard Form 424A Section B (Exhibit B) as an example of the arrangement and allocation of line item costs for the required 10% matching contribution and other resources committed to the program.

Points for this factor will be awarded only for the amount of the net contributions that exceed the 10 percent statutory minimum. If you fail to show the statutory match, you will receive no points for this sub-factor and will be required to provide it prior to a grant award if you are selected. Current or prior grantees are to describe any new and/or additional resources, especially private sector resources that will be used in the program under this NOFA.

Key Points to Consider**Factor 5: COORDINATION, SELF SUFFICIENCY AND SUSTAINABILITY**

10 points for Previously Unfunded Applicants

5 points for Current and Prior Grantee Applicants

In Rating Factor 5

In this factor, you should describe:

- The extent to which you have coordinated your activities with other known organizations that **are not** directly participating in your proposed lead hazard control grant program, but that share a common goal for meeting objectives that improve and benefit the community
- The extent to which you have established lead hazard control linkages with other activities, programs and projects, particularly those that will continue after the grant is completed
- The extent to which you intend to implement practical solutions during the grant period to assist beneficiaries of grant funds in achieving affordable housing, economic empowerment, educational opportunities, housing choice, or improved living environments
- Actions you intend to take to affirm fair housing choice
- The extent to which your program will become financially self-sustaining after the grant award period is completed
- The relationships you have established with private sector and faith-based and community-based organizations to develop capacity and a sustainable infrastructure

Describe the extent that you have coordinated your activities with other know organizations that **are not** directly participating in your proposed lead hazard control grant program, but that share a common goal for meeting objectives that improve and benefit the community.

Detail the linkages that reflect your efforts for a coordinated, community-based process of identifying needs and building a system to prevent lead poisoning in your community's housing stock. Describe your efforts or the specific steps used to develop linkages with other Federal (including HUD), State, or locally funded lead-related housing, health, and environmental activities through meetings, information networks, planning processes, or other mechanisms to coordinate actions. Describe how your proposed activities interface with the activities of other HUD Lead-Based Paint Hazard Control grantees, CDC Childhood Lead Poisoning Prevention grantees, HUD or EPA Lead Outreach and Education grantees, and other programs which are addressing lead poisoning prevention or other needs in your metropolitan area or region. Detail efforts to encourage the formation of lead poisoning prevention or control efforts outside of your local jurisdiction (within the State, if you are a State applicant). Provide evidence and/or develop a specific plan outlining what actions the applicant has taken or will take to integrate and coordinate lead-based paint hazard control into ongoing housing, health and environmental programs (including any lead-related Superfund or Brownfields efforts) that will continue after the grant is completed. (e.g. Childhood Lead Poisoning Prevention Programs, Maternal and Child Health Programs, State Medicaid agencies, child care providers, EPA grantees, EPA Regions and/or EPA authorized certification and accreditation programs, programs and others)

Applicants should review the Lead-Based Paint Hazard Reduction and Financing Task Force report: *Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing* (see Annex 3). The Task Force report notes lead hazard control integration may include:

- incorporating lead-based paint maintenance and hazard control standards into housing codes and health regulations;
- incorporating lead-based paint hazard control with other housing rehabilitation or health and housing code activities;
- using public subsidies or other resources to enhance sustainability after the grant period ends;
- developing public-private partnerships to finance lead hazard control as part of acquisition and rehabilitation financing; and
- using revolving loan funds for future lead hazard control activities.

Describe specific plans and objectives to implement and maintain a registry of lead-safe housing that is available to the public, or to incorporate housing or inclusion of the lead-safe status of properties in another publicly accessible address-based property information system so families with children, particularly those under age 6, can make informed decisions regarding their housing options. Existing grantee applicants must describe their registry of lead-safe housing and specifically discuss its availability, the amount of information contained in it, and its use by members of the community.

Key Points to Consider

- The extent of lead hazard control integration efforts
- Your ability to be self-sufficient after the grant period is completed
- Your involvement in the Consolidated Planning process in your community

Detail should be provided on your planned or actual efforts -- as well as private sector and faith-based and other community-based efforts -- to develop lead hazard control capacity and build a sustainable infrastructure. You should provide information on how these organizations will be involved in the process to develop community plans and priorities to address lead hazards. Discuss how the proposed lead hazard control efforts will be integrated with other community rehabilitation efforts.

If applicable, describe how the lead hazard control efforts that are focused in the Empowerment Zone/ Enterprise Community will directly benefit the residents or community in that EC/EZ.

Identify the facilitating agency that organizes and administers the Consolidated Plan process in your jurisdiction. Detail the Consolidated Plan issue areas in which your organization participates and your active involvement in any Consolidated Plan committees. If your organization is not currently active in the Consolidated Plan process, detail the specific steps that it will take to become involved and identify and address needs/ problems related in whole or in part to lead hazard control activities.

The applicant should demonstrate that it has a knowledge of the community's Consolidated Plan and/or Analysis of Impediments to Fair Housing Choice, and has proposed activities to substantially further fair housing choice. The applicant should indicate how funding would be used in conjunction with the State or local government's Fair Housing Planning strategy to overcome any identified impediment to fair housing choice, which pertains to lead-based paint, and how experience with this program will be used to update these documents. Specific impediments, plans for correcting the identified impediments, and planned updates to the Analysis of Impediments should be described.

Application Kit Annexes

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Annex 1 - Lead Hazard Background

Lead is a powerful toxicant that attacks the central nervous system. It is particularly damaging to the neurological development of young children. Pregnant women can transfer lead through the placenta to the fetus. Lead-based paint is one of the major sources of lead in the environment. In addition to paint, lead may be found in dust, soil, drinking water, food, combustion of leaded gasoline, and industrial emissions. Human exposure to lead is usually found by testing blood samples for the presence of lead.

The national housing survey conducted for the HUD Report on the National Survey of Lead-Based Paint in Housing in 1989-1990 showed that approximately 83 percent (or 64 million) of all pre-1978, occupied housing units had lead-based paint somewhere on the exterior or interior of the building. Approximately 90 percent of the dwellings built prior to 1960 had lead-based paint. More recent data from the National Survey of Lead and Allergens in Housing indicate that approximately 40 percent (or 38 million) of U.S. homes (other than vacant homes, group homes, hotels, motels, and housing where children were not permitted to live) had lead-based paint somewhere on the building in 1998-1999. Older dwellings are more likely to have higher concentrations of lead on painted surfaces and greater surface area coverage. Although intact lead-based paint poses little immediate risk to occupants, non-intact paint that is chipping, peeling, or otherwise deteriorating may present an immediate risk to occupants. Of particular concern are the approximately 25 million homes (26%) that have significant lead-based paint hazards (deteriorated lead-based paint, dust-lead levels, and/or soil-lead levels above the standards and the de minimis amounts of the HUD Lead-Safe Housing Rule at 24 CFR 35), the approximately 4.4 million units with significant lead-based paint hazards that are occupied by children under age 6 (which are approximately 27% of all homes occupied by children under age 6), and the approximately 1.4 million of these homes with young children for which the household income is under \$30,000 per year (which are approximately 29% of homes occupied by children under age 6 for which the household income is under \$30,000 per year). Children with elevated blood lead levels are disproportionately located in older and poorer neighborhoods in the nation's central cities. More than one-third of African-American children living in large central cities have elevated blood lead levels.

In July 1995, the Task Force on Lead-Based Paint Hazard Reduction and Financing recommended actions to develop comprehensive, health-protective, cost-effective, and feasible approaches to addressing the health hazard of lead-based paint. In October 1992, Title X of the Housing and Community Development Act of 1992 was enacted. This law amended the Lead-Based Paint Poisoning Prevention Act (LBPPPA) of 1971 as well as provided for a number of additional initiatives to address lead-based paint in housing. This law moved the focus from the mere presence of lead-based paint to a focus on conditions that can expose a child to lead hazards - deteriorating lead-based paint, lead-contaminated dust and bare lead-contaminated soil. The Task Force recommendations were aimed towards the 19 million housing units estimated to contain lead hazards, and preventing new lead hazards in the balance of the housing stock. This NOFA incorporates many of the recommendations in the Task Force Report.

In 1995, HUD published *Guidelines for the Evaluation and Control of Lead-Based Paint in Housing* (HUD *Guidelines*). The HUD *Guidelines* provide detailed, comprehensive, technical information on the identification and control of lead-based paint hazards in housing. The HUD Guidelines replace the Interim Guidelines published in 1990. The Guidelines include a revised Chapter 7 on lead-based paint inspections, dated September 1997.

In August 1996, the EPA published regulations implementing Sections 402 and 404 of the Toxic Substances Control Act (TSCA) that addressed training and certification requirements for lead-based paint professionals and requirements for state programs. The training and certification programs took effect in 1999 and the state program requirements were effective in March 2000. Additional discussion is provided in Annex 6 of this NOFA. State Lead-Based Paint Contractor Certification and Accreditation Programs meeting the Annex 6 requirements are considered acceptable for purposes of the grant program in this NOFA.

Since the start of the Lead-Based Paint Hazard Control Grant program in 1993, approximately \$690 million (including this NOFA) will have been provided to States and local governments to address lead-based paint hazards in privately owned housing.

Annex 2 - Definitions

Abatement - Any set of measures designed to permanently eliminate lead-based paint or lead-based paint hazards. For the purposes of this definition, permanent means at least 20 years effective life. Abatement includes:

- 1) The removal of paint and dust, the permanent enclosure or encapsulation of lead-based paint, or the removal or permanent covering of lead-contaminated soil; when lead-based paint hazards are present in such paint, dust or soil; and
- 2) All preparation, cleanup, disposal, and post-abatement clearance testing activities associated with such measures.

Accredited Laboratory – (See Recognized Laboratory)

Certified and Trained Performers

- 1) **Certified Abatement Supervisor, Certified Abatement Worker, Certified Lead-Based Paint Inspector and Certified Risk Assessor** – An abatement supervisor, abatement worker, lead-based paint inspector, lead-based paint risk assessor, or other lead-based paint professional who has successfully completed a lead training program approved by the Environmental Protection Agency (EPA) and who meets any other requirements for certification or licensure established by the EPA or who is certified by any State through a program authorized by the EPA (See Annex 6 or this NOFA)
- 2) **Trained Worker** - For lead hazard control work other than abatement conducted under the Lead Hazard Control Grant Program, a worker must meet the requirements of a Federal or State-accredited lead-based paint training course in a particular discipline which meets, at a minimum, the requirements found in Annex 6 of this NOFA, or be qualified for conducting activities according to 24 CFR Part 35, especially Sections 35.1325 and 35.1330. (See Interim Controls and Lead-Safe Work Practices Training)

Clearance Testing and Examination - A HUD-required visual examination and collection of environmental samples by a certified inspector or certified risk assessor, and laboratory analysis by an accredited laboratory upon completion of lead-hazard control work. The unit must undergo wipe sampling and show it has lead dust levels below existing standards. See Annex 3 for the Clearance Standards for Lead Contaminated Dust.

Community Based Organization (CBO) and Faith-Based Organization – A non-profit “grassroots” organization that has a strong history of providing vital community services in neighborhoods. These non-profit organizations are located in the targeted neighborhoods and perform functions designed to improve the community. There is substantial involvement and/or participation of residents associated with these faith-based and community-based organizations. In addition, faith-based and community-based organizations must possess the capacity to receive and manage federal funds.

Dust-Lead Hazard – Surface dust on a residential property or a child-occupied facility as defined in 40 CFR 745.65(b).

Dust-Wipe Sampling - See Wipe Sampling for Settled Lead-Contaminated Dust

Eligible Housing - Target housing that qualifies as eligible housing under section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992, as amended by section 217 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (Pub. L. 104-134; 110 Stat. 1321, approved April 26, 1996). The term does not include any public housing (whether Federal or locally supported) or any federally owned housing. Privately-owned, Section 8 Certificates and Vouchers, Tenant Based housing is eligible for assistance under this grant program.

Encapsulation - The application of any covering or coating that acts as a permanent barrier between the lead-based paint and the environment and that relies, for its durability, on adhesion between the encapsulant and the painted surface, and on the integrity of the existing bonds between paint layers, and between the paint and the substrate.

Enclosure - The use of rigid, durable construction materials that are mechanically fastened to the substrate in order to act as a barrier between the lead-based paint and the environment.

Faith-Based Organization – See Community Based Organization (CBO)

Federally Assisted Housing - Residential dwellings receiving project-based assistance under programs including:

- (1) Section 221(d)(3) or section 236 of the National Housing Act;
- (2) Section 1 of the Housing and Urban Development Act of 1965;
- (3) Section 8 of the United States Housing Act of 1937; or
- (4) Sections 502(a), 504, 514, 515, 516, and 533 of the Housing Act of 1949.

Other than the programs noted in Annex 5, "Federally Assisted Housing" is not eligible for assistance under the HUD Lead-Based Paint Hazard Control Grant Program. (See Annex 5 of this NOFA.)

Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing (June 1995 with Revised Chapter 7 published in September 1997) - HUD's manual of lead hazard control practices (commonly referred to as the HUD Guidelines) which provide detailed, comprehensive, technical information on how to identify lead-based paint hazards in housing and how to control such hazards safely and efficiently. (The HUD Guidelines replace the HUD Lead-Based Paint: Interim Guidelines for Hazard Identification and Abatement in Public and Indian Housing published in 1990.)

Hazardous Waste - As defined in EPA regulations (40 CFR 261.3). Solid waste, or a combination of solid wastes, that because of its quantity; concentration; or physical, chemical, or infectious characteristics may:

- 1) Cause, or significantly contribute to increases in mortality, serious and irreversible, or incapacitating illness; or
- 2) Pose a substantial present or potential hazard to human health or the environment when improperly treated, stored, transported, or disposed.

HEPA Vacuum - (High Efficiency Particulate Air) - A vacuum cleaner fitted with a filter capable of removing particles of 0.3 microns or larger at 99.97 percent or greater efficiency from the exhaust air stream.

Interim Controls - A set of measures designed to temporarily reduce human exposure or likely exposure to lead-based paint hazards. Interim controls include, but are not limited to specialized cleaning, repairs, occasional and ongoing maintenance, painting, temporary containment, and management and resident education programs. Interim controls include dust removal; paint film stabilization; treatment of friction and impact surfaces; installation of soil coverings, such as grass or sod; and land-use controls.

Interim control work must be performed by a person trained in accordance with 29 CFR 1926.59 (the OSHA hazard communication standard) and either be supervised by an individual certified as a lead-based paint abatement supervisor or have successfully completed one of the following courses:

- 1) A lead-based paint abatement supervisor course accredited in accordance with 40 CFR 745.225;
- 2) A lead-based paint abatement worker course accredited in accordance with 40 CFR 745.225;
- 3) The Lead-Based Paint Maintenance Training Program, "Work Smart, Work Wet, and Work Clean to Work Lead Safe" prepared by the National Environmental Training association for EPA and HUD;
- 4) "The Remodeler's and Renovator's Lead-Based Paint Training Program," prepared by HUD and the National Association of the Remodeling Industry; or
- 5) Another course approved by HUD for this purpose after consultation with EPA

(Also See Certified and Trained Performers)

Laboratory Analysis - As used for paint, dust-wipes or soil, analysis for lead by a recognized laboratory in accordance with the requirements and limitations of its recognition.

Lead-Based Paint - Any paint, varnish, shellac, or other coating that contains lead equal to or greater than 1.0 mg/cm² as measured by XRF or laboratory analysis, or 0.5 percent by weight (5,000 µg/g, 5,000 ppm, or 5,000 mg/kg) as measured by laboratory analysis. Local legislation or regulations may have established a more restrictive level.

Lead-Based Paint Hazard - Paint-lead hazard, dust-lead hazard or soil-lead hazard, as identified in 40 CFR 745.65.

Lead-Based Paint Hazard Control - Activities to control and eliminate lead-based hazards, including interim controls, abatement and complete abatement.

Lead-Safe Work Practices Training - (See *Certified and Trained Performers and Interim Controls*)

mg - milligram; 1/1,000 of a gram; about 35/1,000,000 of an ounce.

Prohibited Practices - Practices that are not allowed because of the risks to health. Prohibited practices include open flame burning or torching; machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control; uncontained hydroblasting or high pressure wash; abrasive blasting or sandblasting without HEPA exhaust control; heat guns operating above 1100 degrees Fahrenheit; chemical paint strippers containing methylene chloride; and dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two (2) square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

Recognized Laboratory - A laboratory that is recognized by the National Lead Laboratory Accreditation Program (NLLAP) as being capable of performing lead analyses of samples of paint, dust-wipes, and/or soil. A list of recognized laboratories is available from the National Lead Information Center at 800-424-LEAD (5323).

Replacement - A strategy of abatement that entails the removal of building components that have surfaces coated with lead-based paint such as windows, doors, and trim and the installation of new components free of lead-based paint.

Residential Dwelling - This term means either:

- 1) A single-family dwelling, including attached structures, such as porches and stoops; or
- 2) A single-family dwelling unit in a structure that contains more than one separate residential dwelling unit and in which each unit is, or is intended to be used or occupied, in whole or in part, as the home or residence of one or more persons.

Risk Assessment - An on-site investigation of a residential dwelling to discover any lead-based paint hazards. Risk assessments include an investigation of the age, history, management, maintenance of the dwelling, and the number of children under age six (6) and women of child-bearing age who are residents; a visual assessment; limited environmental sampling (i.e., collection of dust-wipe samples, soil samples, and deteriorated paint samples); and preparation of a report identifying acceptable abatement and interim control strategies based on specific conditions.

Soil-Lead Hazard - Bare soil on residential property or on the property of a child-occupied facility as defined in 40 CFR 745.65(b).

State Certification Program - (see Annex 6 of this NOFA - Elements of a State Certification Program)

Substrate - A surface on which paint, varnish, or other coating has been applied or may be applied. Examples of substrates include wood, plaster, metal, and drywall.

Target Housing - Any residential unit constructed before 1978, except dwellings for the elderly, persons with disabilities (unless any child who is less than 6 years of age resides or is expected to reside in such housing for the elderly or persons with disabilities), or any 0-bedroom dwelling.

Testing - The measurement of lead in painted surfaces by Federal- or State-certified personnel using a portable X-ray fluorescence analyzer (XRF) operated in accordance with its manufacturer's operating instructions and its Performance Characteristics Sheet (PCS), laboratory analysis by an accredited laboratory of paint samples, or other method(s) approved by HUD.

Title X - The Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Pub. L. 102-550, approved October 28, 1992).

µg (or ug) - Microgram; 1/1,000 of a milligram.

Wipe Sampling for Settled Dust-Lead Hazards - The collection of settled dust samples from surfaces to measure for the presence of lead. Samples must be analyzed by a laboratory that is accredited by an EPA-approved lead laboratory accrediting organization and recognized by the National Lead Laboratory Accreditation Program (NLLAP). For clearance purposes, settled dust sampling shall be performed in accordance with the EPA protocol at 40 CFR 745.227, subparts L and Q. (Note that clearance of non-abatement lead hazard control work is not required by Federal regulation to be performed by certified inspectors or risk assessors; state regulations may apply). Surfaces sampled must meet the EPA standards for clearance (provided in Annex 3). For clearance, all surfaces shall have no more than the maximum allowable standards. See "Clearance Testing and Examination."

XRF Analyzer - An instrument that determines lead area concentration in painted surfaces in units of milligrams per square centimeter (mg/cm^2) using the principle of x-ray fluorescence (XRF). For purposes of the grant program, and as used in the HUD Guidelines, the term XRF analyzer only refers to portable instruments manufactured to analyze paint, and does not refer to laboratory-grade units or portable instruments designed to analyze soil or dust. XRF analyzers are to be operated in accordance with their manufacturer's operating instructions and their HUD Performance Characteristics Sheet (PCS) (see www.hud.gov/offices/lead/guidelns/allpcs.pdf).

Annex 3 - References

The Environmental Protection Agency (EPA), with assistance from HUD and the Centers for Disease Control and Prevention (CDC), operates the National Lead Information Center Hotline and Clearinghouse for lead-based paint resources and assistance at 1-800-424-LEAD (1-800-424-5323).

HUD, EPA, CDC, and OSHA operate sites on the World Wide Web which provide alternate sources for many of the documents referenced in this NOFA. The addresses for these organizations are:

Agency	Agency Home Page	Lead Home Page
HUD	www.hud.gov	www.hud.gov/offices/lead
EPA	www.epa.gov	www.epa.gov/lead
CDC	www.cdc.gov	www.cdc.gov/nceh/lead
OSHA	www.osha.gov	www.osha.gov/sltc/lead

To secure any of the documents listed, call the listed telephone number (generally not toll-free).

REGULATIONS:

Worker Protection: OSHA publication -- Telephone: 800-321-6742
 OSHA Regulations (available for a charge) - Government Printing Office -- Telephone: 202-512-1800
 General Industry Lead Standard, 29 CFR 1910.1025
 Lead Exposure in Construction, 29 CFR 1926.62, and appendices A, B, C, and D

Waste Disposal: 40 CFR 260-268 (EPA RCRA regulations) -- Telephone 1-800-424-9346.

Lead; Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities; Final Rule: 40 CFR 745 (EPA) (State Certification and Accreditation Program for those engaged in lead-based paint activities) (Please note new hazards identification rule at 66 FR 1206, January 5, 2001)-- Telephone: 202-554-1404 (Toxic Substances Control Act Hotline)

Lead-Based Paint Poisoning Prevention in Certain Residential Structures (Lead-Safe Housing Rule), Final Rule, 24 CFR 35 (HUD). Available from the National Lead Information Center at 1-800-424-LEAD.

GUIDELINES:

Lead-Based Paint: Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing; HUD, June 1995 (revised Chapter 7 published in September 1997) (available for a charge) -- Telephone: 800-245-2691

HUD Handbook 1378, Tenant Assistance, Relocation and Real Property Acquisition; Telephone: 202-708-1367.

Preventing Lead Poisoning In Young Children; Centers for Disease Control, October 1991: Telephone: 404-498-1420.

Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials, Centers for Disease Control and Prevention, November 1997, Telephone 404-498-1420.

REPORTS:

Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing (Summary and Full Report), HUD, July 1995, copies are available for a charge -- Telephone 800-245-2691:

Comprehensive and Workable Plan for the Abatement of Lead-Based Paint in Privately Owned Housing: Report to Congress, HUD, December 7, 1990, copies are available for a fee -- Telephone 800-245-2691.

Innovative Financing Sources for Lead Hazard Control, Alliance to End Childhood Lead Poisoning, September 1996, copies are available at \$25 per copy from the Alliance at 227 Massachusetts Avenue, NE, Suite 200, Washington, DC 20002.

CDC Classes of Blood Lead Levels in Children:

Class	Concentration, g/dL	Comment
I	<9	Child is not considered to be lead-poisoned.
IIA	10-14	Large number or proportion of children with blood lead levels in this range should trigger community-wide childhood lead poisoning prevention activities. Children in this range may need to be rescreened more frequently.
IIB	15-19	Child should receive nutritional and educational interventions and more frequent screening. If the blood lead level persists, environmental investigation and intervention should be done.
III	20-44	Child should receive environmental evaluation and remediation and a medical evaluation; may need pharmacologic treatment of lead poisoning.
IV	45-69	Child will need both medical and environmental interventions, including chelation therapy.
V	>70	Child is a medical emergency. Medical and environmental management must begin immediately.

Clearance Standards for Lead Contaminated Dust

Note: The clearance standards shown below were published as part of the EPA's Final Regulation, Identification of Dangerous Levels of Lead, its lead hazards standards rule at 40 CFR 745 subparts D and L. The standards are found at 40 CFR 745.227(e)(8)(viii).

Dust Lead Standards for Risk Assessments and Clearance	
Surface	Dust Lead Level $\mu\text{g}/\text{ft}^2$
Floors	40
Interior Window Sills	250
Window Troughs (clearance only)	400

Annex 4 - Section 1011 of Title X

Section 217 of Public Law 104-134 (the Omnibus Consolidated Rescissions and Appropriations Act of 1996, 110 Stat. 1321, approved April 26, 1996) amended Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X) to read as follows:

Sec. 1011 GRANTS FOR LEAD-BASED PAINT HAZARD REDUCTION IN TARGET HOUSING.

(a) **GENERAL AUTHORITY.** The Secretary is authorized to provide grants to eligible applicants to evaluate and reduce lead-based paint hazards in housing that is not federally assisted housing, federally owned housing, or public housing, in accordance with the provisions of this section. Grants shall only be made under this section to provide assistance for housing which meets the following criteria --

(1) for grants made to assist rental housing, at least 50 percent of the units must be occupied by or made available to families with incomes at or below 50 percent of the area median income level and the remaining units shall be occupied or made available to families with incomes at or below 80 percent of the area median income level, and in all cases the landlord shall give priority in renting units assisted under this section, for not less than 3 years following the completion of lead abatement activities, to families with a child under the age of six years, except that buildings with five or more units may have 20 percent of the units occupied by families with incomes above 80 percent of area median income level:

(2) for grants made to assist housing owned by owner-occupants, all units assisted with grants under this section shall be the principal residence of families with income at or below 80 percent of the area median income level, and not less than 90 percent of the units assisted with grants under this section shall be occupied by a child under the age of six years or shall be units where a child under the age of six years spends a significant amount of time visiting; and

(3) notwithstanding paragraphs (1) and (2), Round II grantees who receive assistance under this section may use such assistance for priority housing.

Annex 5 - Eligibility of HUD Assisted Housing

Eligibility of HUD-associated "eligible" housing units to participate under HUD's lead-based paint hazard control grant program

Program	Eligible?	Program	Eligible?
Housing Components of Community Planning & Development Programs		Housing in Military Impacted Areas (Section 238)	Yes
Community Development Block Grants (Entitlement)	Yes	Single Family Home Mortgage Coinsurance (Section 244)	Yes
Community Development Block Grants (Non-Entitlement) for States and Small Cities	Yes	Graduated Payment Mortgages (Section 245)	Yes
Community Development Block Grants (Section 108 Loan Guarantee)	Yes	Adjustable Rate Mortgages (ARMs) (Section 251)	Yes
Special Purpose Grants	Yes	Manufactured Homes (Title I)	Yes
The Home Program: HOME Investment Partnerships	Yes	Housing - Multifamily Programs	
HOPE for Homeownership of Single Family Homes	Yes	Rent Supplements (Section 101)	No
Shelter Plus Care - Sponsor-based Rental Assistance	No	Multifamily Rental Housing (Section 207)	Yes
Shelter Plus Care - Tenant-based Rental Assistance	Yes	Cooperative Housing (Section 213)	Yes
Shelter Plus Care - Project -based Rental Assistance	No	Mortgage and Major Home Improvement Loan Insurance for Urban Renewal Areas (Section 220)	Yes
Shelter Plus Care - SRO Rental Assistance	No	Multifamily Rental Housing for Moderate-Income Families - Section 221(d)(3)	No
Single Family Property Disposition Homeless Initiative	No	Multifamily Rental Housing for Moderate-Income Families - Section 221(d)(4)	Yes
Emergency Shelter Grants	Yes	Existing Multifamily Rental Housing (Section 223(f))	Yes
Housing Opportunities for Persons With AIDS (HOPWA)	Yes	Supplemental Loans for Multifamily Projects (Section 241)	Yes
Surplus Properties (Title V)	No	Supportive Housing for Persons with Disabilities (Section 811)	No
Supportive Housing Demonstration Program Transitional Housing Component	Yes	HOPE 2: Homeownership of Multifamily Units (Title IV)	No
Supportive Housing Demonstration Program Permanent Housing Component	Yes	Low-Income Housing Preservation and Resident Homeownership (Title VI)	No
Supplemental Assistance for Facilities to Assist the Homeless (SAFAH)	Yes	Emergency Low-Income Housing Preservation (Title II)	No
Supportive Housing Program	Yes	Flexible Subsidy (Section 201)	No
Section 8 SRO Mod Rehab for Homeless Individuals	No	Public and Indian Housing	
Innovative Demonstration Program	Yes	Section 8 Project-Based Certificate Program	No
Housing - Single Family Programs		Section 8 Tenant Based Certificate and Voucher Program	Yes
One- to Four-Family Home Mortgage Insurance (Section 203(b) and (i))	Yes	Section 8 Moderate Rehabilitation Program	No
Rehabilitation Mortgage Insurance (Section 203(k))	Yes	Public Housing Development	No
Homeownership Assistance for Low- and Moderate-Income Families (Section 221(d)(2))	No	Public Housing Operating Subsidy	No
Homes for Service Member (Section 222)	Yes	Public Housing Modernization (Comprehensive Grant Program)	No
Housing in Declining Neighborhoods (Section 223(e))	Yes	Public Housing Modernization (Comprehensive Improvement Assistance Program)	No
Condominium Housing (Section 234)	Yes		

Annex 6 - Elements of a State Certification Program

To be eligible to receive a Lead-Based Paint Hazard Control grant, an applicant must be a State, tribal or local (city or county) government. State government and Native American tribal applicants must have an EPA approved State program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745.

Background

In October 1992, Congress passed the Residential Lead-Based Paint Hazard Reduction Act (Title X of the Housing and Community Development Act of 1992). Congress assigned Federal responsibility to the Environmental Protection Agency (EPA) for the definition, implementation, and oversight of State and Tribal Certification Programs for workers, contractors, and inspectors engaged in the detection and reduction of lead-based paint hazards. This legislation required EPA to develop regulations on accreditation of training programs, the certification of contractors and the training of workers engaged in lead-based paint activities. In addition, EPA was directed to issue work practice standards. Under the statute, lead-based paint activities are defined as:

- In the case of target housing: risk assessment, inspection, and abatement; and
- In the case of any public building constructed before 1978, commercial building, bridge, or other structure or superstructure: identification of lead-based paint and materials containing lead-based paint, deleading, removal of lead from bridges, and demolition.

On August 29, 1996, EPA promulgated a final regulation that established requirements for lead-based paint activities in Target Housing and Child Occupied Facilities.

- 40 CFR 745 Subpart L addressed the requirements for the certification of individuals and the accreditation of training programs as well as work practice standards.
- 40 CFR 745 Subpart Q addresses the procedures and requirements for the approval of State programs that would be administered and enforced in lieu of the Federal Program in that State.
- 40 CFR 745.325 and 745.327 establishes the minimum programmatic and enforcement elements that a program must have in order to be authorized. States had until August 30, 1998 to receive authorization from the Agency. After that date, EPA will administer the Federal program in that State.

Any State or Tribe applying for a HUD Lead-Based Paint Hazard Control Grant must have implemented legislation and programs that fulfill the requirements of 40 CFR 745.325 and 327 and received EPA authorization for such a program. States and Tribes should be aware that HUD will not award grants for lead-based paint hazard evaluation or reduction to States without an EPA authorized program under section 404 of the Toxic Substances Control Act. An EPA administered, training and certification program established in the place of an approved state program does not satisfy the requirement for a State applicant to have a Federally-authorized State program. **State or Tribal applicants must have received EPA authorization for their program as of the date the Lead-Based Paint Hazard Control Grant program applications are due at HUD.** State and Tribal applicants should coordinate with the appropriate EPA Region to ensure their application for an authorized program is approved by the due date for the grant applications. All local government applicants will be required to use performers certified by their state or the EPA to perform lead hazard control work in their state.

Questions regarding the EPA authorization process should be directed to your EPA Regional Lead Coordinator.

Annex 7 - Blank and Sample Forms

APPLICATION FORMS

- Checklist and Submission Table of Contents
- Table 1. Key Personnel †
- Table 2. Other Related Lead Grant Programs †
- Table 3. Blood Lead Level Information †
- Table 4. Housing Age and Condition †
- Table 5. Housing Occupancy Projections †
- Table 6. Anticipated Lead Hazard Control Activities †
- Table 7 - Match Funding †
- Table 8. Grant Partners †
- Work Plan Guidance
- SAMPLE FORM: Total Budget (Federal Share and Matching)
- SAMPLE FORM: SF-424A Section B
- SAMPLE FORM: HUD-424-M (Federal Assistance Funding Matrix)

The following forms are provided in the Forms Section in the back of this publication:

- | | |
|-------------|---|
| • SF-LLL | Disclosure of Lobbying Activities * |
| • SF 424 | Application for Federal Assistance * |
| • SF-424A | Budget Information - Non Construction Programs * †
(complete only page 1 of the SF-424A) |
| • SF-424B | Assurances - Non-Construction Programs * |
| • HUD-424-M | Matrix on Federal Assistance* |
| • HUD-2880 | Applicant/Recipient Disclosure/Update Report * |
| • HUD-2990 | Certification of Consistency with the EZ/EC Strategic Plan * |
| • HUD-2991 | Certification of Consistency with the Consolidated Plan * |
| • HUD-2992 | Certification Regarding Debarment and Suspension * |
| • HUD-2993 | Acknowledgment of Application Receipt * |
| • HUD-50070 | Certification for a Drug-Free Workplace * |
| • HUD-50071 | Certification of Payments to Influence Federal Transactions * |
| • | Total Budget (Federal Share and Matching) † |

* These forms are also available as fillable Adobe Reader (PDF) or Word (DOC) formats from the HUDClips website at www.hudclips.org (available from the HUD homepage at www.hud.gov)

† These forms are also available as Excel (XLS) spreadsheet from the HUD Office of Healthy Homes and Lead Hazard Control website at www.hud.gov/offices/lead

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CHECKLIST AND SUBMISSION TABLE OF CONTENTS

LEAD HAZARD CONTROL GRANT PROGRAM

The following checklist is provided to ensure you have submitted all required items to receive consideration for funding. You must assemble the application in the order shown below and note the corresponding page number where the response is located. **You must include this checklist and submission table of contents with the proposal.**

<input type="checkbox"/>	Transmittal Letter	Cover page
<input type="checkbox"/>	Applicant Abstract Summary (limited to a maximum of 2 pages)	_____
<input type="checkbox"/>	Application Forms	_____
<input type="checkbox"/>	Standard Form 424 and SF 424A Section B	_____
<input type="checkbox"/>	Standard Form 424B (Assurances/Non-Construction Programs)	_____
<input type="checkbox"/>	HUD-424-M	_____
<input type="checkbox"/>	Total Budget (Federal Share and Matching)	_____
<input type="checkbox"/>	HUD 2880 Disclosure and Update Report	_____
<input type="checkbox"/>	HUD 2990 Certification of Consistency with the EZ/EC Strategic Plan	_____
<input type="checkbox"/>	HUD 2991 Certification of Consistency with the Consolidated Plan	_____
<input type="checkbox"/>	HUD 2992 Certification Regarding Debarment and Suspension	_____
<input type="checkbox"/>	HUD 50070 Certification for a Drug-Free Workplace	_____
<input type="checkbox"/>	HUD 50071 Certifications of Payments to Influence Federal Transactions	_____
<input type="checkbox"/>	Form SF-LLL Disclosure of Lobbying Activities Required	_____
	<input type="checkbox"/> Form SF-LLL Not Required	_____
Threshold Requirements		
<input type="checkbox"/>	Copy of Lead-Based Paint Element in Consolidated Plan	_____
<input type="checkbox"/>	Performance Measure - Minimum of 35% of units in most recent HUD agreement were completed and cleared by March 31, 2002 as reported to HUD (Current Grantees Only)	_____
Rating Factor Response (The narrative response to the Rating Factors cannot exceed a total of 25 pages.)		
<input type="checkbox"/>	1. Capacity of the Applicant and Relevant Experience	_____
<input type="checkbox"/>	2. Needs/Extent of the Problem	_____
<input type="checkbox"/>	3. Soundness of Approach	_____
<input type="checkbox"/>	4. Leveraging Resources	_____
<input type="checkbox"/>	5. Coordination, Self Sufficiency, and Sustainability	_____
Appendices		
<input type="checkbox"/>	Appendix 1 - Material in support of Rating Factor 1	_____
<input type="checkbox"/>	Appendix 2 - Material in support of Rating Factor 2	_____
<input type="checkbox"/>	Appendix 3 - Material in support of Rating Factor 3	_____
<input type="checkbox"/>	Appendix 4 - Material in support of Rating Factor 4	_____
<input type="checkbox"/>	Appendix 5 - Material in support of Rating Factor 5	_____
<input type="checkbox"/>	Appendix 6 - Materials relating to the application thresholds or forms. The Lead-Based Paint Element from the Consolidated Plan should be provided in this appendix.	_____
<input type="checkbox"/>	Appendix 7 - Other materials related to the application (as required)	_____
<input type="checkbox"/>	HUD 2993 Acknowledgment of Application Receipt	_____
<input type="checkbox"/>	HUD 2994 Client Comments and Suggestions (completion of this form is optional)	_____

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Table 1 - Key Personnel			
Name and Position Title (please include the organization position titles in addition to those shown)	Percent of Time Proposed for this Grant	Percent of Time to be spent on other LHC HUD grants	Percent of time to be spent on other activities
Note: These three columns should total 100%			
Overall Project Director			
Day-to-Day Program Manager			

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Table 2 - Other Related Lead Grant Programs	
Granting Agency and Grant Number	
Year Issued and Original Project Completion Date	
Current Projected Completion Date	
Grant Amount	
Major Performance Goals	
Status of Progress	
Granting Agency and Grant Number	
Year Issued and Original Project Completion Date	
Current Projected Completion Date	
Grant Amount	
Major Performance Goals	
Status of Progress	
Granting Agency and Grant Number	
Year Issued and Original Project Completion Date	
Current Projected Completion Date	
Grant Amount	
Major Performance Goals	
Status of Progress	

Please use this to describe other related lead grant programs operating in your community. If you are an existing lead hazard control grantee, please indicate the number of units in your most recent grant agreement.

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Table 3a - Blood Lead Level (BLL) Information*

Blood Lead Level for TARGET AREAS Name of TARGET AREA(S): _____		
Total Number of Children < 6 Years (72 months) of Age in Target Area: _____ % of Total Population: _____		
Total Number of Children < 6 Years Tested for Blood Lead Levels: _____ % of Children < 6 years of age Tested: _____		
Blood Lead Level	Number of Children Under 6 Years (72 mo) of Age with following BLL Results	% of Total
< 10 µg/dL		
≥ 10 µg/dL and < 15 µg/dL		
≥ 15 µg/dL and < 20 µg/dL		
≥ 20 µg/dL		
Total Tested		100%
Source and Date of Estimate (Indicate Period Covered)		

Table 3b - Blood Lead Level (BLL) Information*

Blood Lead Level for Name of JURISDICTION: _____		
Total Number of Children < 6 Years (72 months) of Age in Target Area: _____ % of Total Population: _____		
Total Number of Children < 6 Years Tested for Blood Lead Levels: _____ % of Children < 6 years of age Tested: _____		
Blood Lead Level	Number of Children Under 6 Years (72 mo) of Age with following BLL Results	% of Total
< 10 µg/dL		
≥ 10 µg/dL and < 15 µg/dL		
≥ 15 µg/dL and < 20 µg/dL		
≥ 20 µg/dL		
Total Tested		100%
Source and Date of Estimate (Indicate Period Covered)		

*State or Local Health Departments may be good reference sources for obtaining this information

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Table 4a - Housing Age and Condition			
Housing data for		TARGET AREAS	
Name of TARGET AREA(S): _____			
Year Built	Number	% of Total	Condition of Housing Stock Interior/Exterior
Pre-1940			/
1940-1949			/
1950-1959			/
1960-1969			/
1970-1977			/
1978 or newer			/
Total			/
Source and Date of Estimate			

Table 4b - Housing Age and Condition			
Housing data for		JURISDICTION WIDE	
Name of JURISDICTION: _____			
Year Built	Number	% of Total	Condition of Housing Stock Interior/Exterior
Pre-1940			/
1940-1949			/
1950-1959			/
1960-1969			/
1970-1977			/
1978 or newer			/
Total			/
Source and Date of Estimate			

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Table 4c – Very Low- and Low-Income Population

Very Low- and Low Income Population for:

JURISDICTION WIDE

Name of JURISDICTION: _____

Jurisdiction (City, County, State)	Number of Families ≤50% of AMI*	%	Number of Families ≥50% - < 80% of AMI*	%	Total Number of Families <80% of AMI*	%
Total						

Source and Date of Estimate: _____

Table 4d – Very Low- and Low-Income Population

Very Low- and Low Income Population for:

TARGET AREA(S)

Name of TARGET AREA(S): _____

Target Area (County, Municipality, Census Tract, Neighborhood, or Area)	Number of Families ≤50% of AMI*	%	Number of Families ≥50% - < 80% of AMI*	%	Total Number of Families <80% of AMI*	%
Total						

*AMI – Area Median Income

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Table 5 - Housing Occupancy Projections		
Type of Unit	Number of Units Proposed	% of Total
Owner-Occupied		
Rental		
Vacant		
Total		100 %

Please use this to project the number of units proposed for lead hazard control under the grant effort

Table 6 - Anticipated Lead Hazard Control Activities				
Activity	Who Will Perform This Activity? Identify (In-house, contractor, faith-based or community-based non-profit organization, etc.)	Number of Units	Estimated Time to Complete Work for each unit (hours, days, weeks)	Estimated Unit Cost
Lead-Based Paint Inspections				
Lead-Based Paint Risk Assessments				
Low Level Interventions (Specialized Cleaning/Paint Stabilization)				
Interim Controls				
Hazard Abatement				
Clearance Inspections				

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Table 7 - Match Funding		
Source of Match	Work to be accomplished in support of the program using the matching funds	Value of In-kind or Cash Matching Contribution
		Total Match Amount \$

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Table 8 - Grant Partners

Note: Please complete this table for each of the grant partners proposed in the application

Partner Name	Type of Organization	Description of Commitment	Proposed Activities To Be Conducted by Partner	Resource and Match Commitment (\$ Value for Services Provided)

Partner Name : Name of organization or entity that will partner with applicant in conducting LHC activities.

Type of Organization or Program:

Health, Housing, Environmental, Community Development Department, Faith-Based or other Community-Based Organization, Childhood Lead Poisoning Prevention Program, Financial Institutions, Job Training and Economic Opportunity Organizations, etc.

Description of Commitment: Memorandum of Understanding/Agreement, Contract, Subgrant, Letter , etc.

Proposed Activities:

The type of activities that will be conducted by the grant partner in support of LHC efforts (i.e. rehab, testing, training, education and outreach, spec writing, relocation, etc.

Resource Commitment Contributed by Partner:

The value of any contributed resource by the grant partner (includes in -kind or cash in support of the grant program). The contributed resource should also be listed in Table 7 – Match Funding)

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Work Plan Guidance

**Excerpt from Office of Healthy Homes and Lead Hazard Control Policy Guidance Issuance Number: 2001-03
Revised Quarterly Progress Reporting Requirements**

Work Plan Guidance

The work plan shall be submitted to the Government Technical Representative (GTR) and shall consist of the goals and specific time-phased objectives established for each of the major activities and tasks required to implement the program. These major activities and tasks are outlined in the Quarterly Progress Reporting System (Form-HUD-96006) and include: 1) Program Management and Capacity Building including data collection and program evaluation; 2) Community Education, Outreach and Training; and 3) Lead Hazard Activities including testing, interventions conducted, and relocation.

NOTE: Approval of the work plan by the GTR and HUD approval of the Release of Funds Request (HUD Form 7015.15) are required prior to conducting lead hazard control intervention work in homes.

The work plan narrative shall include :

- ☐ The management plan that describes how the project will be managed, and the timeline for staffing the program, establishing a lead-based paint contractor pool, and obtaining HUD approval for the Release of Funds Request (HUD Form 7015.15);
- ☐ A detailed description of how assistance and funding will flow from the grantee to the actual performers of the hazard reduction work;
- ☐ The selection process for sub-grantees, sub-contractors or sub-recipients;
- ☐ The identification, selection, and prioritization process for the particular properties where lead hazard control interventions are to be conducted;
- ☐ *A description of the financing mechanism used to support lead hazard control work in units (name of administering agency, eligibility requirements, type of financing (grant, forgivable or deferred loans, private sector financing etc), any owner matching requirement, and the terms, conditions and amounts of assistance available (include affordability terms and forgiveness and recapture of funds provisions);
- ☐ The inspection/risk assessment testing procedures using EPA standards to identify lead hazards and to conduct clearance testing. *[Dust wipe samples, soil samples and any paint samples to be analyzed by a laboratory must be analyzed by a laboratory recognized by the EPA National Lead Laboratory Accreditation Program (NLAPP)];*
- ☐ *The process for developing work specifications and bids on properties selected for lead hazard control;
- ☐ The levels of intervention and clearance procedures to be conducted for units enrolled;
- ☐ The number of rental-occupied, vacant, and owner-occupied units proposed for each intervention level;
- ☐ The relocation plan that will be carried out for residents required to be out of their homes during hazard control activities;
- ☐ The education, outreach, and training activities to be undertaken by the program;
- ☐ The blood lead testing and other health measures to be undertaken to protect children and other occupants of units undergoing lead hazard control work; and
- ☐ The evaluation process used to measure program performance

*To be added as amendment to Work Plan Policy Guidance Issuance 2001-03

Objectives and Milestones

Specific and measurable performance objectives and milestones to be developed in support of the work plan narrative include:

- ☐ The overall objectives for Lead Hazard Control activities including the total number of lead hazard evaluations and units projected to be completed and cleared (HUD Agreement-HUD-1044). Quarterly performance milestones are to be developed to achieve the overall objectives for these activities.
- ☐ The overall objectives for Community Education, Outreach, and Training Activities. Quarterly performance milestones are to be developed to achieve the overall objectives for these activities.

SAMPLE GOALS/OBJECTIVES & PERFORMANCE MILESTONES

Lead Hazard Control Grant Program Activities

The following sample format for the goals/objectives and performance milestones for lead hazard control grant program major tasks and activities may be used by grantees as part of the overall work plan submitted to the Office of Healthy Homes and Lead Hazard Control. Grantees are to develop additional goals/objectives and performance milestones for each major task or activity related to the lead hazard grant program. (For illustrative purposes, the grant program agreement effective date is January 1 of the current year and the total number of units included in the grant agreement is 100)

SAMPLE GOALS/OBJECTIVES & PERFORMANCE MILESTONES	
<i>Total Number of Units to be Completed and Cleared</i>	<i>100</i>
<i>Total Number of Paint Inspections/Risk Assessments to be Conducted</i>	<i>150</i>
<i>Total Number of Training Events to be Conducted</i>	<i>10</i>
<i>Total Number of Health Education and Outreach Events to be Conducted</i>	<i>18</i>

Quarterly Performance Objectives

Goal/Objective:

Units to Be Completed: **100**

Year 1

Quarter	Quarterly Milestone	Completed/Cleared	Cumulative Completed/Cleared
<input type="checkbox"/> JAN - MAR	NA	NA	NA
<input type="checkbox"/> APR - JUN	NA	NA	NA
<input type="checkbox"/> JUL - SEP	5		
<input type="checkbox"/> OCT - DEC	5		

Year 2

Quarter	Quarterly Milestone	Completed/Cleared	Cumulative Completed/Cleared
<input type="checkbox"/> JAN - MAR	10		
<input type="checkbox"/> APR - JUN	15		
<input type="checkbox"/> JUL - SEP	15		
<input type="checkbox"/> OCT - DEC	10		

Year 3

Quarter	Quarterly Milestone	Completed/Cleared	Cumulative Completed/Cleared
<input type="checkbox"/> JAN - MAR	10		
<input type="checkbox"/> APR - JUN	10		
<input type="checkbox"/> JUL - SEP	10		
<input type="checkbox"/> OCT - DEC	10		

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Budget Summary

Total Budget (Federal Share and Matching)

Name and Address of Applicant

Detailed Description of Budget (for full grant period)

Category

1. Personnel (Direct Labor)	Estimated Hours	Rate per Hour	Estimated Cost	Federal Share	Match
Position or Individual					
Project Coordinator	6,240	\$24.73	\$154,315	\$154,315	\$0
Inspector/Risk Assessor	14,560	\$17.35	\$252,616	\$252,616	\$0
Account Clerk	3,120	\$16.09	\$50,201	\$50,201	\$0
Data Manager	1,248	\$15.56	\$19,419	\$19,419	\$0
Office Assistant	3,120	\$12.15	\$37,908	\$37,908	\$0
Outreach Workers	4,160	\$11.66	\$48,506	\$48,506	\$0
Chemist	624	\$20.83	\$12,998	\$0	\$12,998
Lab Tech	1,248	\$10.66	\$13,304	\$0	\$13,304
Nursing Supervisor	208	\$28.34	\$5,894	\$0	\$5,894
Director of Community Development	624	\$39.00	\$24,336	\$0	\$24,336
Translator	1,040	\$13.42	\$13,957	\$0	\$13,957
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
Total Direct Labor Cost			\$633,454	\$562,965	\$70,489
2. Fringe Benefits	Rate	Base	Estimated Cost	Federal Share	Match
Health Insurance	10.00%	\$633,454	\$63,345	\$0	\$63,345
Retirement	9.00%	\$633,454	\$57,011	\$0	\$57,011
Vacation	6.00%	\$633,454	\$38,007	\$0	\$38,007
FICA	8.00%	\$633,454	\$50,676	\$0	\$50,676
	0.00%	\$633,454	\$0	\$0	\$0
	0.00%	\$633,454	\$0	\$0	\$0
		\$633,454	\$0	\$0	\$0
		\$633,454	\$0	\$0	\$0
Total Fringe Benefits Cost			\$209,039	\$0	\$209,039
3. Travel					
3a. Transportation - Local Private Vehicle	Mileage	Rate per Mile	Estimated Cost	Federal Share	Match
Project Coordinator	7938	\$0.315	\$2,500	\$2,500	\$0
Inspector/RA	33075	\$0.315	\$10,419	\$10,419	\$0
Outreach Workers	9450	\$0.315	\$2,977	\$2,977	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Trans - Local Private Vehicle			\$15,896	\$15,896	\$0
3b. Transportation - Airfare (show destination)	Trips	Fare	Estimated Cost	Federal Share	Match
Travel to Washington	2	\$685.00	\$1,370	\$1,370	\$0
Travel for training	3	\$390.00	\$1,170	\$1,170	\$0
Travel to conferences	2	\$550.00	\$1,100	\$1,100	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Transportation - Airfare			\$3,640	\$3,640	\$0

Budget Summary

Total Budget (Federal Share and Matching)

Detailed Description of Budget					
3c. Transportation - Other	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Vehicle usage (\$175/mo)	36	\$175.00	\$6,300	\$0	\$6,300
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Transportation - Other			\$6,300	\$0	\$6,300
3d. Per Diem or Subsistence (indicate location)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Travel to Washington	6	\$180.00	\$1,080	\$1,080	\$0
Travel for training - Destination	12	\$135.00	\$1,620	\$1,620	\$0
Travel to conferences - Destination	9	\$155.00	\$1,395	\$1,395	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Per Diem or Subsistence			\$4,095	\$4,095	\$0
Total Travel Cost			\$29,931	\$23,631	\$6,300
4. Equipment (Only items over \$5,000 each)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
XRF Analyzer	1	\$16,000.00	\$16,000	\$16,000	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Total Equipment Cost			\$16,000	\$16,000	\$0
5. Supplies and Materials (Items under \$5,000)					
5a. Consumable Supplies	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Blood test supplies	2200	\$1.10	\$2,420	\$2,420	\$0
Dust test supplies	33600	\$0.80	\$26,880	\$26,880	\$0
Office supplies (\$200/mo)	36	\$200.00	\$7,200	\$7,200	\$0
Educational Materials	1	\$2,000.00	\$2,000	\$2,000	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Consumable Supplies			\$38,500	\$38,500	\$0
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Computers	3	\$2,000.00	\$6,000	\$6,000	\$0
XRF Sources	7	\$2,500.00	\$17,500	\$17,500	\$0
Office Furniture	2	\$600.00	\$1,200	\$1,200	\$0
Software	3	\$350.00	\$1,050	\$1,050	\$0
Laser Printer	1	\$650.00	\$650	\$650	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Non-Consumable Materials			\$26,400	\$26,400	\$0
Total Supplies and Materials Cost			\$64,900	\$64,900	\$0

Detailed Description of Budget

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Analysis of Total Estimated Costs	Estimated Cost	Percent of Total	Percent of Labor
1 Personnel (Direct Labor)	\$633,454	14.1%	
2 Fringe Benefits	\$209,039	4.7%	33.0%
3 Travel	\$29,931	0.7%	
4 Equipment	\$16,000	0.4%	
5 Supplies and Materials	\$64,900	1.4%	
6 Consultants	\$43,200	1.0%	
7 Contracts and Sub-Grantees	\$3,124,525	69.6%	
8 Other Direct Costs	\$226,325	5.0%	
9 Indirect Costs	\$139,012	3.1%	
Total	\$4,486,386	100.0%	
Federal Share	\$2,477,096	55.21%	
Match	\$2,009,290	81.11%	Expressed as a percentage of the Federal Share

Some cells in this spreadsheet are protected. There is no password for this spreadsheet.

Budget Information - Non-Construction Programs

Exhibit B

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.	Do	Not	Complete	This	Section	
4.						
5. Totals						

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				(5) Grand Total
	(1) HUD Request	(2) Match			
a. Personnel (Direct Labor)	\$562,965	\$70,489			\$633,454
b. Fringe Benefits	\$0	\$209,039	Do	Do	\$209,039
c. Travel	\$23,631	\$6,300	Not	Not	\$29,931
d. Equipment	\$16,000	\$0	Use	Use	\$16,000
e. Supplies and Materials	\$64,900	\$0	This	This	\$64,900
f. Consultants	\$0	\$43,200	Column	Column	\$43,200
g. Contracts and Sub-Grantees	\$1,583,275	\$1,541,250			\$3,124,525
h. Other Direct Costs	\$226,325	\$0			\$226,325
i. Total Direct Charges (sum of 6a-6h)	\$2,477,096	\$1,870,278			\$4,347,374
j. Indirect Costs	\$0	\$139,012			\$139,012
k. Totals (sum of 6i and 6j)	\$2,477,096	\$2,009,290			\$4,486,386
7. Program Income					

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OMB Approval No. 2539-0008

Federal Assistance Funding Matrix

The applicant must provide the funding matrix shown below, listing each program for which Federal funding is being requested, and complete the certifications.

Program*	Applicant Share	Federal Share	State Share	Local	Other	Program Income	Total
Lead Hazard Control Grant Program	\$2,009,290	\$2,477,096	\$	\$	\$	\$	\$4,486,386
Grand Totals	\$2,009,290	\$2,477,096					\$4,486,386

* For FHIPs, show both initiative and component

Instructions for the HUD-424-M

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This form is to be used by applicants requesting funding from the Department of Housing and Urban Development for application submissions for Federal assistance.

Enter the following information:

Program: The HUD funding program you are applying under.

Applicant Share: Enter the amount of funds or cash equivalent of in-kind contributions you are contributing to your project or program of activities.

Federal Share: Enter the amount of HUD funds you are requesting with your application.

State Share: Enter the amount of funds or cash equivalent of in-kind services the State is contributing to your project or program of activities.

Local Share: Enter the amount of funds or cash equivalent of in-kind services your local government is contributing to your project or program of activities.

Other: Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being contributed to your project or program of activities.

Program Income: Enter the amount of program income you expect to generate and contribute to this program over the life of your award.

Total: Please total all columns and fill in the amounts.

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Frequently Asked Questions

The following are frequently asked questions. Additional questions submitted will be addressed on the Office of Healthy Homes and Lead Hazard Control website at www.hud.gov/offices/lead

Q: How can I find out what the 50% and 80% area median income levels (AMI) are in my community to determine eligibility of households for assistance?

A: The HUD User website has the median income levels for communities. The web address is: <http://www.huduser.org/datasets/il/fmr02/index.html>

Q: For a rental unit, whose income is considered for eligibility?

A: The income limits used for determining eligibility apply to the tenants of the rental property. Please see Annex 4 of the Application Kit for the specific legislative language.

Q: Can vacant housing units be enrolled in this program?

A: Yes. A vacant unit which meets the criteria of target housing can be enrolled if the owner agrees to rent or sell the unit to low or very low income families with children under six years of age after hazard control work is completed. (See Annex 4 of this NOFA for additional eligibility criteria). Note: Zero bedroom units cannot be assisted.

Q: What pre-hazard control testing method or methods is preferred?

A: Because the applicant has the greatest understanding of the housing conditions in the community, decisions regarding the level or type of testing can be best made at a local level in consultation with the lead-based paint inspectors and risk assessors. In general, because the purpose of the grant is to address lead hazards, a combined inspection and risk assessment is typically appropriate and recommended. This approach will provide a detailed understanding of both the lead-based paint as well as lead-based paint hazards.

Q: When should blood lead testing be done in conjunction with lead hazard control work?

Before lead hazard control work begins, each occupant who is a child under six years old should be tested for lead poisoning within 6 months of housing treatment. Any child with an elevated blood lead level should be referred for appropriate medical follow-up. If the parents of a child refuse to have a child tested, they must sign a release form (see Policy Guidance Issuance 2000-04 available by accessing the Internet at: <http://www.hud.gov/offices/lead>).

Q: Must a child have an elevated blood level before the unit the child is residing in is eligible under this grant program?

A: No. One of the goals of the Lead-Based Paint Hazard Control program is to provide housing which does not harm current or future residents. This primary prevention approach reflects the understanding that preventing lead poisoning is the best approach. However, for obvious reasons, within the priority system for enrollment, communities typically afford priority to families with an EBL child.

Q: What exactly do you mean by the term “lead hazard control”? How does that compare to abatement?

A: Lead hazard control is defined as “activities to control and eliminate lead-based hazards, including interim controls, hazard abatement and complete abatement.” Because grant applicants are expected to focus on cost-effective approaches, ***complete abatement of all lead-based paint is not recommended***. The goal of the grant program is to make homes lead safe, not necessarily lead free. Therefore, for purposes of the grant program, lead hazard control activities undertaken by grant programs are to address identified lead hazards through interim controls and hazard abatement. Some people refer to lead hazard control as abatement of lead hazards.

Q: Does HUD recommend one lead hazard control approach over another? What is the best approach for controlling lead hazards?

A: No. Again, the selection of a specific intervention is a local decision. Because the focus of this grant program is the control of lead hazards, successful grantees have employed the full range of lead-based paint interventions. These forms of intervention ranged from low level (intensive cleaning and spot paint repairs) to more intense (component replacement, spot abatement, and larger paint repairs). The condition of the units to be treated often determines the approach to be employed.

Q: What procedures should a grantee follow for clearance dust testing?

Clearance dust testing must be conducted according to the EPA work practice standards rule at 40 CFR 745.227, and the HUD Guidelines. (Note that clearance of non-abatement lead hazard control work is not required by Federal regulation to be performed by certified inspectors or risk assessors; State regulations may apply). Grantees are required to meet the post-hazard control dust-wipe clearance thresholds contained in the EPA rule (these are provided in Annex 3 of the Application Kit). Wipe tests shall be conducted by a certified person who is independent of the lead hazard control contractor. Dust-wipe and soil samples, and any paint samples to be analyzed by a laboratory for lead, must be analyzed by a laboratory recognized by the EPA National Lead Laboratory Accreditation Program (NLLAP) for that analysis. Units or areas shall not be reoccupied until clearance is achieved.

Q: How can I find the certified contractors in my area?

A: You can access the Internet for the Lead Listing at <http://www.leadlisting.org> or by calling 1-888-LEADLIST.

Q: What lead hazard control work can be done without using certified contractors?

Interim controls that are conducted as part of funded activities must be conducted by persons qualified for these activities according to 24 CFR Part 35, especially Sections 35.1325 and 35.1330. ***Lead-based paint contractors or lead-based paint workers who are not certified but have successfully completed a HUD approved course in lead-safe work practices can now be used for grant funded interim control work.*** When hazard abatement, rather than interim

controls are used, such hazard abatement work must still be carried out by contractors certified by an EPA authorized Lead-Based Paint Training and Certification Program.

Q: Does a large community have an advantage over a smaller community because they have (presumably) more children at risk and housing units with lead-based paint hazards?

A: No. The information regarding need that is contained in the application is not compared with other applicants. The relative need of a community is assessed solely on the need within the applicant's jurisdiction.

Q: You mention production as a performance measure for current and prior grantees. How is that determined? Are other factors considered?

A: HUD will evaluate the cumulative number of housing units in which lead-hazard control work has been completed (including the final clearance inspection) compared to the number of units projected to be completed in the most recent grant agreement. Other factors HUD will consider in reviewing grantee responses to Rating Factor 3 are: 1) the length of time taken to complete the project; 2) the most recent progress made by the grantee; 3) the LOCCS drawdown expenditure rate; and 4) the number of units completed that exceeded the projections made in their most recent grant. (Current grantee performance will be evaluated for the period ending March 31, 2002 and prior grantee performance will be evaluated based on the grantee's final report data).

Q: Will the application remain intact during the review process or will it be divided into separate parts for separate reviews?

A: The review process has reviewers evaluating the entire application as submitted. Because your application will be reviewed as a single document, you do not need to duplicate materials you desire to discuss in several locations in your narrative response. It is sufficient to reference such materials by page number.

